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ABSTRACT

This Teacher Corps document investigates the nature and function of organizations, and explores the applicability of organizational studies to the field of education. Topics dealt with include: 1) understanding organizations: 2) the structure of organizations: 3) the relationship between individuals and organizations: 4) organizational characteristics and organizational functioning: and 5) a structural process model of organizational analysis. Exercises for organizational analysis are included in the document. (LH)

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TABLE OF CONTENTS

PREFACE by Dr. Martin Ryder, MAN Executive Secretary

INTRODUCTION by Dr. Martin Ryder

SECTION I

Understanding Organizations by Dr. Wilma Smith, University of Pittsburgh

SECTION II

Leadership, The Concept, Selected Empirical Findings and Related Training Activities by Drs. Gary P. Johnson and William A. Lessa, Penn State University

SECTION III

Decision Making Module by Dr. Lillian Ramos, Catholic University in Puerto Rico

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PREFACE

This manual was developed to satisfy the sharing needs of the Directors comprising the Board of the Mid-Atlantic Teacher Corps Network. Management is believed to be the major force in successful program operations and the Directors wished to have a systematic way to share their respective experiences.

"Thanks" should be given Ms. Elizabeth Gerald, Teacher Corps Washington Program Monitor, for her continued support and interest in this and other Mid-Atlantic Network projects. "Special Thanks" should also be given to Mr. Joel Rodkin and Ms. Barbara Dunham for their continued faith and cooperative attitudes which translates into successful Mid-Atlantic Network programs.

Martin Ryder, Ed.D.
Executive Secretary
Mid-Atlantic Teacher Corps Network

INTRODUCTION

When a purposeful system controls an array of resources upon which it defines itself, management for effective utilization becomes the primary concern. Management involves organization and decision making. Organization involves the systematic ordering of human and technical capabilities to achieve some predefined goal. Decision making involves problem solving whenever the administrator is in doubt about which choice to make. Problem solving has traditionally become an essential ingredient of the information acquisition and synthesis procedures of modern organizational management.

Historically, management focused on control as its most important process and efficiency as the ultimate outcome. These expectations were emphasized in scientific management (Taylor, 1911), Administrative Management (Gulick and Urwick, 1937), and Bureaucracy (Weber, 1947), models which are designed to reduce uncertainties and assume a closed system as optimal.

> Having focused on control of the organization as a target, each employs a closed system of logic and conceptually closes the organization to coincide with that type of logic, for this elimination of uncertainty is the way to achieve determinateness. (Thompson, 1967, p. 6)

While the comfort of a closed system offers the organization an optimal environment for efficient technical operations, the demands of other institutions sharing the same environment requires each organizational structure to conceive its position as part of an interactive open system. "Approached as a natural system, the complex organization is a set of interdependent parts which together make up a whole because each component contributes something and receives something from the whole, which in turn is interdependent with some larger environment." (Thompson, 1967)

Consequently, the problem solving techniques in an open system begins to approach the realm of infinity and demand the creation of systematic solution sets as opposed to discreet application of available resources.

> We have also come to realize that no problem ever exists in complete isolation. Every problem interacts with other problems and is; therefore, part of a set of interrelated problems, a *system of problems*. For example, the race problem, the poverty problem, the urban problem, and the crime problem to mention but a few, are clearly interrelated. (Ackoff, 1974, p. 21)

While this superficial analysis suggests there are only two philosophical extremes for organizational planners to focus their efforts on the reality of the organic system's function is grounded in both the open and closed systems to the certainty phenomena.

Parsons (1960) suggests that organizations have three unique levels of integrated survival support responsibilities; technical, managerial, and institutional.

Ultimately, every organization is composed of technical suborganizations whose functions are problem centered and focused on effective performance of the specialized demands required for maintenance of the total system. Primarily, the energies and orientation of the technical suborganization are confined by the nature of the specific task, such as

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teacher training techniques which must be developed and the kinds of cooperation of different people required to get the job done effectively.

The manager services the technical suborganization by mediating between the technical suborganization and those who use its services; pupils, teachers, deans, etc., and procuring the resources necessary for carrying out the technical functions. Actually, management control is exercised over the technical suborganizations by decisions on such matters as the broad technical task which is to be performed, the scope of operations, and the allocation of resources.

Finally, the Parsons formulation suggests that the organization, composed of the technical and management suborganizations, is a part of a larger social system from which it derives its definition, legitimization, and systematic support, making implementation of the organizational goals possible. Parenthetically, the organization must maintain a closed systems approach for the technical suborganizations to function effectively, while simultaneously developing a needs-responsive posture for input from the larger social system.

> If the organization must approach certainty at the technical level to satisfy its rationality criteria, but must remain flexible and adaptive to satisfy environmental requirements, we might expect the managerial level to mediate between them ironing out some irregularities stemming from external sources, but also pressing the technical core for modifications as conditions alter. (Thompson, 1964)

Therefore, the management of an organization is charged with the responsibilities of the historian, researcher, problem-solver, and futurist. The design of the organization is the unique incorporation of the subsidiary competencies along with major missions and attempts to institutionalize its product or services as a needs-responsible solution to society's survival functions. These organizational demands require a tremendous number of planning resources, which must be allocated in a continuous fashion, to combat the infection of stagnation and obsolescence.

> For many years social and organizational planning was ignored and held in disrepute in the United States and other western nations because of its association with communism . . . hence, it was incorrectly assumed by many Americans that planning necessarily implies a strong central government or management. It was only after non-communist France successfully planned its recovery from World War II and did so without either centralized planning or concentration of power at the top, that we began to understand that planning can serve any political or organizational philosophy, just as problem solving can. It can increase the effectiveness of either a decentralized democracy or a centralized autocracy. (Ackoff, 1974)

Ackoff (1974) develops an attitudinal taxonomy which groups the managerial styles into four types; inactive, reactive, preactive, and interactive. These styles are not mutually exclusive and are directly dependent on the timing and specific situations for organizational application.

Inactivism

Inactivists are basically satisfied with the way things are presently progressing. Although they participate on design committees, panels, etc., they entertain these activities to counteract any attempts to introduce intervention.

> Inactive organizations require a great deal of activity to keep changes from being made. They accomplish nothing in a variety of ways. First, they require that all important decisions be made at "the top." The route to the top is deliberately designed like an obstacle course. This keeps most recommendations for change from ever getting there. (Ackoff, 1974)

These organizations are characterized by a maze of paper obstacles and words are substituted for action; policy statements, strategy documents, position papers, reports, memoranda, and any other kind of prolific document are substituted for a direct line of action.

Reactivism

Reactionary management is not only resistant to change, but actively seeks to revert previous changes to represent situations in the nostalgic past.

> Reactivists dislike complexity and try to avoid dealing with it. They reduce complex messes to simple problems that have simple solutions — solutions that are "tried and true." They are panacea-prone problem solvers, not planners . . . Unlike inactivists, Reactivists do not ride the tide; they try to swim against it back to a familiar shore. It is not surprising, therefor, that once successful but now declining institutions and organizations are particularly susceptible to this point of view. (Ackoff, 1974)

Proactivism

Proactivists are technocrats who believe the control of information such as forecasts, projections, and other ways of obtaining glimpses of the future will allow them time to identify and deal with problems before they become serious. Proactive planning and problem solving is based on logic, science, and experimentation. Proactivists seek to find solutions to problems and exploit opportunities more through applied research than through individual and institutional change. Actually, they are more hardware oriented than software oriented. The proactivists, similar to the scientific management cult, seek control of intra-system variables, and views inter-system interaction as a potential threat.

> Proactivists seek change within the system, but not change of the system or its environment. They are reformers, not revolutionaries. They seek neither to ride with the tide nor to buck it, but to ride in front of it and to get where it is going before it does. In this way, they believe, they can take advantage of new opportunities before others get to them. (Ackoff, 1974)

Interactivism

Interactivists are radicals who believe in total system change and control. They try to change the foundations as well as the superstructure of society and its institutions and organizations. Their belief in self determination dictates a philosophy which enables them to seek control of a significant part of the future as well as control of its effects on them. They are idealists who treat ideals as relative absolutes, ultimate objectives whose formulation depends on current knowledge and understanding of the interaction between the organization and its environment. Active participation in self realization, self control, and increased ability to design their own destinies, fosters the insight to conceive behavior and technology as interrelated aspects of a socio-technical system.

The four principal planning practices employed by the interactivists are: participative, coordinated, integrated, and continuous planning.

Participative Planning

The planning format is a process in which maximum benefit is derived from engaging in the production rather than consumption of the product. Therefore, effective planning results from the commitment of individuals in the organization relative to the construction of self-imposed behavioral vectors designed to capitalize on short-term and long-run resources to accomplish the organization's mission.

> The proper role of the professional planner is not to plan for others, but to facilitate their planning for themselves; that is, to provide everyone who can be affected by the planning with an opportunity to participate in it, and to provide them with information, instruction, and motivation that will enable them to carry it out effectively. (Ackoff, 1974)

Coordinated Planning

Since a system is composed of both vertical and horizontal gate-keeps representing endorsement mechanisms necessary to the adoption of change, all aspects of the system should be planned for simultaneously and interdependently. It is impossible to effectively plan to change any suborganization within the organization without equally adjusting the related units within that system.

> In planning, breadth is more important than depth and interactions are more important than actions. (Ackoff, 1974)

Integrated Planning

In multilevel organizations like government and education, planning should not only be coordinated, but, required at every level of operation.

> In organizations whose objectives dominate those of its members, such as, corporations, strategic planning (selection of ends) tends to flow from the top down, and tactical planning (selection of means) tends to flow from the bottom up. This flow is usually reversed in a system whose primary function is to serve its members (Ackoff, 1974)

Since the clients of education include both the organizational membership (teacher and administrators) and at the same time is dominated by the desire to produce a quality product via the student, planning requires a simultaneous continuous flow of tactical and strategic information in both directions along the vertical continuum.

Continuous Planning

> Because purposeful systems and their environment are changing continuously, no plan retains its value over time. (Ackoff, 1974)

Therefore, frequent attention should be given to the tasks of updating, extending, and correcting the original plans to include the modifications required to meet the stated objectives. The actual performance resulting from the plan should be scrutinized by the application of a formative evaluation system sensitive to the value inputs from the organization's membership and its external environment. The resultant data should be continuously analyzed, and decisions should be made focused on significant deviations. The producers of these deviations should be identified and appropriate corrective action taken.

The interactive planning system is predicated on five interdependent activities: ends, means, resource, organizational, and implementation/control planning in that order.

Ends Planning

The process of ends planning should be ultimately concerned with how central the proposed concept is to the survival of the entire system (centrality). Primary attention should be given to determining what aspects are needed in the alternative designs for the desired future.

Means Planning

Means planning is concerned with deciding on a course of action resulting in meeting the requirements of the desired future. This requires selecting practices, processes, programs, and policies which reduce the uncertainties and discrepancies inherent in the implementation of project objectives.

Resource Planning

The requirements of effective resource planning are concerned with determining the types of resources required – both human and technical – how they are to be required or generated, and how they are to be allocated once they are available.

Organizational Planning

There are two interdependent aspects in organizational planning which should be given a tremendous amount of forethought. There must be a conscious design which focuses on the coordination and integration necessary for organizational planning. Specific attention should be given to determining organizational requirements, arrangements, and management designs which produce the most optimal environment possible for the process of planned change.

Implementation and Control Plannng

The implementation and control process is initially concerned with determining how to implement the decisions resulting from each planning process. Crucial to the implementation process is the maintaining and improvement of the plan under changing internal and external conditions.

Educational Applications

Although the integrated approach recommended by the interactivist's philosophy of organizational planning is presently still in its theoretical stages, the March, 1972 Rand Report to the President's Commission on School Finance summarized the state of the educational researcher's art and draws some rather interesting conclusions. The Rand Report classified research attempts in education under five major categories: Input-Output, Process, Organizational, Evaluation and the Experiential approaches.

Input-Output Approach

The input-output approach includes nineteen major studies which focused on variables such as:

- Student outcomes as measured by standardized reading or mathematics achievement tests, dropout rates, or some measure of college attendance.
- School resources including average teacher's experience, salary, degree level, and verbal ability as the most common along with class size, measures of the physical plant, and the number of library books per student.
- Background factors virtually always referred to the socioeconomic status of the students' families and the communities served by the school facility.
- Peer group influence as a variable attempted to measure the educational attainment, aspirations, attitudes, and motivations of the student's classmates. It was theorized that peer group influence would show a strong correlation with a student's intention to attend college, academic standing, attendance, transfer rates, etc.

Essentially, the input-output approach was basically concerned with manipulating the inputs (purchased resources) and quantifying the resulting outputs in student achievement measured by standardized tests. The results of these studies were prominent in the historical policy debates on civil rights and busing; for example, the Equality of Educational Opportunity Study conducted by Coleman et al., (1966).

Process Approach

Unlike those of the input-output approach, the proponents of the process approach were less concerned with the quality and quantity of the input resources, but, placed more emphasis on how the resources were utilized by the schools serving the student body. They assumed the correct identification of the processes involving the teachers, students, instruction, and resulting composite interactions would ultimately determine the quantities and quality of resources needed. These studies are psychological in nature and their major emphasis is to extend knowledge about educational processes.

Organizational Approach

The organizational approach is concerned with a rational search for inputs or processes, but, it assumes the posture reflected by history, social demands, organizational change, and rigidities of maintenance. The incentives are internally based, control is maintained by structured policies and operational rules, and the organizational approach is more concerned with conformity of its membership than the other two approaches. Responsiveness to societal demands is the system's ability to survive while adapting to the needs of its changing clientele.

> The assumption is that responsive schools will deliver satisfactory academic outcomes, but, not necessarily the maximum feasible outcomes . . . because in this approach the schools have multiple objectives, not just academic outcomes; they do many things. (Averch et al., 1974)

Parenthetically, the purpose is to understand and manage a whole system including administrators, teachers, students, and the community as a whole. This approach is management planning oriented and reflects some of the interactivist's philosophies.

The Evaluation Approach

The evaluation approach studies have traditionally focused on the effectiveness of broad based intervention on the educational delivery mechanisms associated with large issues of social policy. Most of the programs evaluated are geared to the eradication of, or overcoming the effects of the environment of poverty on students. The most

obvious examples are Head Start, Title I, and other programs classified under the 1965 Elementary and Secondary Education Act (ESEA).

The Experiential Approach

The experiential approach is dominated by the literature of educational reform. Proponents of this approach range from the moderate reformism (Silberman, 1970) to those who advocate the abolition of schools entirely (Illich, 1971), or complete change in their governance as a way of changing the nature of the student's experience (Levin, 1970). Much of the influence affecting the private citizen has evolved from discussions resulting in negative publicity related to the schooling experience.

Conclusions resulting from the (Averch et al., 1974) survey of the five categorical research methodologies are summarized as follows:

- Overall, the input-output studies provide little evidence that school resources, in general, have a powerful impact upon student outcomes. When we examined the results across studies we find that school resources are not consistently important.
- The approach of the psychologist focuses on a very different aspect of education. Resources are taken as given or predetermined. What matters here are the processes applied to students and the interactions between teachers and students. For example, research may concentrate on the relation between teaching style and student achievement, or on the effects of grouping achievement . . . what are termed interaction effects seem to exist among various types of personality, methods of reward, ability to grasp meaningful material, and so on, but these interactions have not yet been studied in detail. (Averch et al., 1974)
- In the work on educational organizations, schools are seen as systems with multiple goals, demands from internal bureaucracies, and continuous needs for internal adaptation mechanisms to serve a changing clientele. The research form prevelent in the organizational approach is the case study method. The case studies have provided evidence which documents the following maladies:
  1. There is a positive correlation between system size and centralization.
  2. The larger the educational bureaucracy and the more centralization, the less innovation and adaptation there is likely to be.
  3. Rigidities in the schools can be overcome partly by choice of teachers and principals. However, teacher qualities that are purchased – say, experience – have little to do with innovative teaching.
  4. Real innovation depends on the leverage that can be exerted from outside the system – by federal government or by citizens.
- The evaluation approach research consisted of summative evaluations of comprehensive interventions in existing school systems. These studies were based on the efforts of programs in the Elementary and Secondary School Act of 1965.

  > Virtually, without exception, all the surveys of large, national compensatory education programs have shown no beneficial results on average . . . there is considerable evidence that many of the short run gains from educational interventions fade away after two or three years if they are not reinforced. (Averch et al., 1974)

- The experiential approach is characterized by the conceptual framework of the reform movement and the research techniques are grounded in the documentation efforts of the particular observer. The results of these value based studies are summarzied as follows:
  - Schools are authoritarian toward students.
  - Schools made little or no allowance for individual differences in learning styles and needs.
  - Schools focus on methods that stress rightness and wrongness in learning, thereby destroying independence and creativity, as well as equipping children poorly for the complexities and ambiguities of the real world.

- Schools impose a certain set of social, cultural, and ethical views on their students, thereby imposing feelings of inadequacy and resentment on those who share neither those views nor the traditions they imply.
- Schools as institutions are mindless in the sense that they fail, in any operationally useful way, to question either their relevance or their approach to children's needs. (Averch et al., 1974)

The five research surveys systematically support the theoretical organizational frameworks of Parsons (1970) defining the purposes of management, the technical suborganization and the responses of the total system. Consequently, the Rand Corporation began a second study (1978) prepared for the United States Office of Education which utilized the research framework recommended by the evaluation approach and the organizational perspective of Parsons (1970).

The federal programs investigated focused on the educational change process supporting implementation and the institutionalization of innovations. The background information formulating the policy questions under consideration were related to the inconsistent and generally disappointing results of the federal and local school districts' investments in innovative activities. Technically, the research has specific implications for both the technical suborganization and the management planning functions based on evidence which suggests:

- No class of existing educational treatments has been found that consistently leads to improved student outcomes when variations in the institutional setting and nonschool factors are taken into account.
- "Successful" projects have difficulty sustaining their success over a number of years.
- "Successful" projects are not disseminated automatically or easily, and their "replication" in new sites usually falls short of their performance in the original sites. (Berman and McLaughlin, 1978)

The four federal programs identified for evaluation by the U.S.O.E. were the Elementary and Secondary Education Act, Title III, Innovative Projects; Elementary and Secondary Education Act Title VII, Bilingual Projects, Vocational Educational Act of 1968, and the Right to Read Programs. The evaluation approach identified seven major factors affecting implementation and institutionalization; educational methods, projects resources, scope of project, implementation strategies, school organizational climate and leadership, characteristics of schools and attributes of teachers, and district management capacity and support.

Educational Methods

The idiosyncratic differences in individual classrooms and school districts tend to increase the need for individualized modifications relative to the adaptation of educational methods. Therefore, a project's educational methods determined its implementation and institutionalization effects only to a small and limited extent. In fact, what the project's academic approach consisted of mattered less than the processes utilized to train the teachers.

Project Resources

There was no significant difference in the degree of effective implementation, elicited teacher change, improved student performance, or institutionalized products and practices between more expensive and less expensive projects.

Scope of Work

The Rand Study reported that the teachers' perceptions of clarity of a project's goals and objectives are proportional to their involvement in the decision making process during the implementation phase. This clarity of teachers' perceptions was concluded to be endemic to the more ambitious and demanding attempts of innovative projects. Caution was suggested for those projects which attempt too large an impact audience. The findings of the report suggest that the limitations of resources require innovative projects to focus on feeder patterns, rather than a whole school system.

Implementation Strategies

The effectiveness of an implementation strategy is directly proportional to the degree of mutual adaptation. Mutual adaptation is a process by which the plan is adapted to the reality of its institutional setting, while at the same time teachers and school officials adapt their practices in response to meeting the consensus objectives. The communications linkage is characterized by a vertical and horizontal flow augmented by formative evaluations emphasizing objective centered, and timely feedback loops.

School Climate

> Three elements of a school's organizational climate powerfully affected the projects' implementation and continuation – the quality of working relationships among teachers, the active support of principals, and the effectiveness of project directors. (Berman and McLaughlin, 1978)

The principals unique contribution in the site school is grounded in the moral support of the staff's implementation efforts, not in the "how to do it" advice, which is the responsibility of the project director's technical support team. The legitimacy of institutionalizing a product, processes, or practice is directly related to the organizational climate resulting from the attitude communicated by the principal.

In a feeder pattern, as opposed to the school as an organizational unit, the administrative sanctions are dependent upon the principals as a technical subculture and the superintendent in a related management position.

Characteristics of Schools and Attributes of Teachers

One significant result of the Rand Study with particular implications for Teacher Corps efforts suggest that:

> Change was typically harder to obtain and continue at the secondary level. Three teacher attributes – years of teaching, sense of efficacy, and verbal ability – significantly affected project outcomes. The number of years of teaching had negative effects: the longer a teacher had taught, the less likely was the project to achieve its goals, and the less likely was the project to improve student performance, or institutionalize innovation. (Berman and McLaughlin, 1978)

The characteristics of secondary level teachers suggest that the need for a strong emphasis on a controlled horizontally directed communications network capable of producing attitudinal change with an embedded reward system.

The concluding implications for a management plan designed to introduce and sustain innovation must be sensitive to the need to control vertical and horizontal communications flow to facilitate the organizations' adaptation mechanisms to respond to:

- the need for a closed environment in which to develop the technical aspects of those products and practices needed to meet the demands of the innovation.
- the need for a responsive information system to allow for current input and feedback from the larger social system, community, government, lay pressure groups, parents, etc.
- the need for a continuous planning format sensitive to the demands of both the environment of the organization and the technical suborganization responsible for the development of the products and practices.
- the need to be aware of the correct planning posture based on the feedback data; inactive, reactive, proactive, and interactive planning.
- the need to develop and maintain control of the vertical and horizontal communications system in an isomorphic relationship to the interactions supporting the target of change within the parameters of the organization.
- the need for the plan to adequately reflect its position in the central planning efforts of top management, superintendent's cabinet, budget director, etc.

The Emergence of the Temporary System

The tremendous amount of energy and resources necessary to effectively introduce and sustain innovation in school systems has required federal programs concerned with education to develop a new organizational entity – the "Temporary System."

> Within a temporary system, individuals and groups may behave differently than in the permanent system because there is no necessary commitment to permanent organizational change. Power and status differentials may be minimized to facilitate new patterns of communication, and to locate areas of needed change. In instances in which teachers, administrators, parents, and students can freely interact as peers, new patterns of problem solving can be tried, as well as new approaches to decision making. And, win/lose orientations in conflict situations can be approached as problems to be solved. (Gant et al., 1977)

The Teacher Corps Project is a temporary system structured to be isomorphic to the communication channels in their respective Local Educational Agencies and Institutions of Higher Education and to provide an input format to the larger social system through the Community Council. The communications unit responsible for providing an organizational climate conducive to the technical interactions (inservice professional training) and the larger social system input is the Policy Board: composed of a Dean of Education, Superintendent of the school district, and an elected Community Council Chairperson. The Policy Board is essential to the project team's access to the vertical communications hierarchy necessary for interactive planning to mobilize the proposed innovation. In operational terms, the Policy Board is the Teacher Corps Project Director's information and resource shield. It codifies data about the Institution of Higher Education, Local Educational Agency, and community into policy objectives which protects the closed system vital to the development and delivery of professional/technical inservice training.

The institutional spectrum of each member of the Policy Board should provide the manager (Project Director) with enough information in an integrated fashion to design the planning format, determine the centrality of the proposed innovation to central community, university, and local school district future designs, and begin to develop horizontal communications linkages capable of producing the atmosphere required to support the innovation of each level in the vertical/technical hierarchy. The Rand Study suggests this data is usually present in most school districts by emphasizing that:

> Few school districts in our sample systematically "searched" for better educational treatments. Instead, they used information or treatments that were either already known to local district personnel or were generally fashionable. Federal change agent funds did promote the adoption of projects that might not otherwise have been undertaken by districts; but, these districts were not experimenting per se because the projects tended to be ones which had already been tried or were peripheripheral add ons. Above all, the process did not consist of a "rational" weighing of alternative educational treatments. Instead, it consisted of a complex interplay among organizational forces, political pressures, personal motivations, and educational concerns. (Berman and McLaughlin, 1978)

Although the Policy Board theoretically has the power to give the project staff access to the vertical communications hierarchy, actual utilization of these sanctions requires a systematic analysis of the organization, and this responsibility rests with the Project Director and his/her technical staff. Dr. Wilma Smith, University of Pittsburgh, considered the role of the project's status as a temporary system, reviewed the literature, and utilized her experiential expertise to develop an approach to the analysis and diagnosis of the school system as an organization. The Mid-Atlantic Network is deeply indebted to Dr. Smith for her continued support and contributions to the psychological perspectives of organizational life and communications patterns. We are extremely proud to present her module on the analysis and diagnosis of organizations complete with self administered exercises.

A combination of the information retrieved from the Policy Board and from the organizational analysis procedures presented by Dr. Smith should give the project's staff a relatively clear picture of the support emanating from the members of the three organizational entities toward the institutionalization of the proposed innovation. The support necessary for innovation has been classified into four categories by the Rand Commission during their study of Federal Program Supporting Educational Change: opportunism, top-down, localized support, and broad-based support

Opportunism

Opportunistic projects are essentially ancillary to the district's main educational priorities. They are characterized by a lack of effective support from both the central office and project staff. Planning is superficial and pro forma, and focuses on issues of compliance rather than expected problems of implementation and institutionalization.

Top-Down

Although these support techniques are supported by central office personnel and usually include rather extensive top level planning, the vertical communications system is often sabotaged by the indifference or resistance of principals and teachers.

Localized Support

Localized support is usually characterized by the "grass roots" enthusiasm and efforts which are not matched by the central office personnel. "Projects initiated in this manner represent isolated change efforts within the district." (Berman and McLaughlin, 1978)

Consequently, locally supported projects usually do not have access to the resources for district-wide dissemination practices.

Broad-Based Support

Broad-based support is the situation in which all levels of the district backed the project. In this instance, the adopted project was seen as addressing a central educational need of the district, and active steps were taken to generate support from principal actors at all levels in the school system. The mobilization of broad-based support for a project did not depend upon the source of the idea, i.e., whether it originated in the central office or came from the grass roots; rather it involved the participation of all relevant levels and personnel in planning for the project. Effective participation did not mean that all levels democratically decided on all aspects of the process. Instead, there was typically a division of labor based on which level had responsibility for implementing an activity. As a result, the staff felt these projects were a district initiative, not simply "something teachers wanted to do" or the superintendent's "pet project." (Berman and McLaughlin, 1978)

These support patterns are of particular interest to both the project staff and Policy Board because they determine the commitment and motivation to support a climate conducive to planned change. These patterns result from different processes, and demand the constant evaluation and leadership of project-related personnel. Ultimately, the internal communications network will provide an "Early Warning System" which must be capitalized on by management's leadership if the project is to be successful. Drs. Gary P. Johnson, and William A. Lessa from Pennsylvania State University's Policy Studies Department, has prepared a self-contained module on leadership, which focuses on the concepts of effective leadership. Dr. Johnson has utilized the current theory and a background in applied problem-solving techniques to produce a unique module in leadership containing related training activities. The Mid-Atlantic Network's Board of Directors and Executive Secretary are deeply indebted to them for their patience and expertise in creating the module on leadership.

Central to the leadership role is the function of effective implementation and the broad based decision-making techniques needed to support project initiatives. "Whereas the actors during mobilization typically are central administrators responsible for project planning, the major actors during implementation are project users, those responsible for carrying out project strategies and percepts." (Berman and McLaughlin, 1978) The impact of leadership style and decision-making is further emphasized by the possible outcome resulting from the implementation stage:

1. Nonimplementation occurred when the project neither altered its setting nor was adapted to it. Some projects simply broke down during implementation, particularly if they were very comprehensive or "overly planned" and prescribed; others were ignored or received scant attention from users, particularly if they had objectives that were trivial or peripheral to classroom concerns.

2. Adaptation occurred when the staff adapted the project, usually emasculating it, to meet their own needs, without any corresponding change in traditional institutional behavior or practices. Such projects could experience a deceptively smooth implementation.
3. Mutual adaptation occurred when both project and setting were changed. Mutual adaptation could involve a variety of adjustments to the project itself — for example, reduction or modification of idealistic project goals, amendment or simplification of project treatment, downward revision of ambitious expectations for behavioral change in the staff or of overly optimistic effects of the project on students, and so on. Concomitant with these modifications in project design or objectives, new behaviors were required by project staff, as well as new attitudes necessary for integrating project strategies into classroom practices. Mutual adaptation seldom means smooth or trouble-free implementation. Indeed, from the perspective of an outside observer, the first year or so of project operations might often be seen as chaotic, as staff tried hard to make the project work for them. (Berman and McLaughlin, 1978)

The behaviors and attitudes necessary to support mutual adaptation are grounded in the ownership of the decision-making process. The techniques of decision-making are therefore central to mobilization, implementation and final institutionalization of the products and practices resulting from the Teacher Corps project. Dr. Lillian Ramos, Department of Education Chairperson, Catholic University, Puerto Rico, has recognized that fact and prepared a rather concise and succinct module emphasizing the theoretical framework and practical application of decision theory to the construction of the Teacher Corps Project. The module and exercises are well constructed, and we in the Mid-Atlantic Network feel privileged to have been acquainted with and have benefited from our continued relationships with Dr. Ramos.

Although the three authors have attempted to give us an understanding of the organization in operation, this manual does not in any way take the place of the realities of organization in operation, nor does it take the place of individual project creativity. It should only be utilized as an aid to understanding if you personally find it helpful. The Board of Directors and Program Monitor (Ms. Elizabeth Gerald) sincerely hope this document will prove useful to both new and senior projects within the M.A.N. Teacher Corps Network.

Martin Ryder, Ed.D.
Executive Secretary
Mid-Atlantic Teacher Corps Network

SECTION I

UNDERSTANDING ORGANIZATIONS

UNDERSTANDING ORGANIZATIONS

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TABLE OF CONTENTS

		Page
I.	Understanding Organizations	1
	A. *Analytical Approaches*	2
	B. *The Systems Approach to Organizational Analysis*	5
	C. *Characteristics of Open Systems*	7
	D. *The Coordinating and Controlling Components of Social Systems*	8
	E. *Goal Realization*	11
II.	Structure and the Organization	13
III.	The Individual and the Group in the Organization	15
	A. *Individual-Need Dispositions*	16
	B. *Role*	17
	C. *The Group*	18
	D. *Personality*	19
IV.	Organizational Characteristics and Organizational Functioning	20
	A. *The Importance of Communications*	21
	B. *The Importance of Leadership and Decision-Making*	22
V.	A Structural Process Model of Organization Analysis	22
	A. *Purpose of the Analysis*	23
	B. *Components of the Model*	24
	Notes and References	25
	Exercises for Organizational Analysis	28
	Appendices	33
	Tables	41

I. Understanding Organizations

Scholars of organizational study have formulated numerous theories, approaches, and schools of thought to help us understand how organizations function. Individuals working in this field of inquiry have generated a massive outpouring of literature. A review of this literature would prove a formidable task indeed. Moreover, it would not prove totally useful for our purposes here, because most of the theories tend to focus on a single classification phenomenon. Understanding the impact of the structure, organizational characteristics, and interaction processes of Teacher Corps Projects does not readily yield a simple, singular classification scheme. Therefore, relevant literature relating to organizations will be reviewed in order to help Teacher Corps directors and members to (a) identify the sources of the theories, approaches, and schools of thought useful in formulating a conceptual apparatus for studying their projects; (b) familiarize themselves with the key components necessary for formulating a conceptual framework for project analysis; (c) formulate an analytical approach for studying Teacher Corps Projects. The material presented is intended to assist Teacher Corps directors in looking at their own projects and objectively assessing the functional reality of their organizations. Through self-study and analysis of their own projects, individual members should become more knowledgeable about the organizational characteristics that influence organizational behavior. Relatedly, members should also become more aware of how they, how individuals, and how the organization as a whole are functioning.

A. Analytical Approaches

Most of the schools of thought that have emerged for analyzing and understanding organizations tend to fall into seven theoretical categories. These categories are management theory, structural theory, group theory, individual theory, technology theory, economic theory, and systems theory.

Management theorists, as represented by Henri Fayol, Lyndall Marwick, James Morrey, and Frederick Taylor[1] have focused on how organizations can achieve maximum productivity and efficiency. Advocates of this approach stress the principles of hierarchical arrangements, delegation of authority, specialization, and span of control as indices of efficiency. They viewed organizations in terms of line and staff relations, member rationality, and increasing controls. Pugh observes that:

> The difficulty with management theorists . . . is that their statements do not have sufficient precision to enable crucial experiments to be undertaken to test their validity . . .[2]

The *structural theorists*, represented most closely by Weber and his "bureaucratic authority" approach, ascribe to a system of control by rules which define the duties and responsibilities of certain positions. Theorists representing this trend of thought maintain that special structures and mechanisms exist that transcend the participation of the individual. Weber's theory incorporated five characteristics: (1) tasks distributed among members as offices and roles organized into hierarchical structures where scope of authority is clearly defined; (2) rules governing behavior are specified to insure uniformity; (3) officials are required to assume an impersonal attitude toward other individuals; and (4) employment is usually assumed to be a career for life and promotion is by merit.[3] A major criticism of this approach has been its preoccupation with precision, reliability and validity without attention to the individual and of the human needs within task achievement.

The *group theorists*, emerging partially in reaction to the structuralists, are represented largely by Elton Mazo and the Hawthorne experiment, and Kur Lewin. Their emphasis was on the work group and its influence on individual behavior. The individual and the subjective meanings he attaches to his encounters with others constitutes the starting point for building an organizational theory and accompanying analysis. Criticisms of the group or human relations theorists have largely focused on the inadequacy of the level of the individual-in-the-group, for it fails to recognize the importance of both sociological forces, and conflict as creative forces in society. As Lansburger notes:

> . . . the energy, attention and enthusiasm of the group have been directed toward concepts and phenomena which are, by comparison, superficial and even trivial; status striving of employees, relationships in informal groups in the factory, the need for catteares through a counselor and improving "communications . . . "[4]

Similarly, Alex Cary in his critique of the Hawthorne studies challenges the satisfactions of human association in work as determinants of work behavior.[5]

The group level of analysis, however, if placed in a wider social context, can prove to be a valid approach for study.

March, Simon, Herzberg, Maslow and others support the *individual* approach as an appropriate point for understanding organizational behavior. These theorists contend that the individual, his predispositions, personality, and motivations in the organizational environment provide a referent for individual need orientation and perception analysis. In essence, the individual in his existential existence is presumed to be spontaneous and in a constant state of striving for self-growth. A major issue regarding this approach relates to what view of personality should be taken. Thus, the approach has not yielded an empirically grounded set of psychological principles to guide research and study. An obvious advantage, however, of this approach is its realization that the dynamic system of individual and his translation of needs and perceptions is a realistic focus for study.

The *technology theorists* maintain that technology influences the development and structure of organizations. Specifically, they tend to highlight span of control in terms of technical factors, as influences in industrial behavior. In terms of a technical sub-system, Trist and others point out that the technical system interacts with

the on-going social system." Since Teacher Corps Projects do not find their thrusts in the industrial arena, technology theories may not be deemed as especially useful. This too might be said regarding the *economic theorists* who maintain the importance of considering economic factors in organizational decision-making. Focused largely on business firms, economic theorists, Cyert, March and others, look at how economically rational decisions can be in relation to psychological and sociological variations.

One can conclude that each approach merits consideration as a frame of reference for inquiry. In their singular dimensions, each approach would provide an examination of one facet of the organization's existence. In combination, some elements from each approach might give a more comprehensive view of the organization. Thus, neither approach is totally rejected. A perspective and posture is required, however, that focuses on the interrelatedness of organizational entities and processes, and that also yields information on the realities of organizational life. A systems approach appears to fulfill that need to a considerable degree in light of understanding Teacher Corps Projects. While it is difficult, if not impossible, to identify and measure all the variables, a systems approach offers the opportunity to view and understand organizations in terms of the interaction of the various component parts.

B. The Systems Approach to Organizational Analysis

Before examining the perspectives and elements organic to a systems approach, it might be useful to list some assumptions regarding *Teacher Corps Projects* as *organizations*. Some of the *characteristics* they tend to have as *organizations* are that they:

1. Have goals and are designed to accomplish certain things.
2. Involve social relationships and contain to some degree a hierarchy of authority, and a division of labor.
3. Are imbedded within the larger organizations of higher education and local education agencies, thus, they
4. Maintain themselves through their interrelatedness with other systems.
5. Are created to bring about change in the systems with which they are imbedded, thus, they
6. Seek to be responsive to a larger environment and to society through the determination of its goals.
7. Involve individuals who generally are also members of the larger organizations referred to in 3.
8. Depend on the Director or manager role for planning, implementing, and coordinating the purposive activities of the project.
9. Rely on linkages with persons and institutions for continuous communication, feedback, and for enhancement of its position.
10. Seek to institutionalize those change processes, and activities that are proven to be effective.

Viewing an *organization* as a system of conciously coordinated activities interrelated to achieve specified purposes, allows us to focus on the interdependent and patterned activities within the system. Katz and Kahn indicate that "the stability or recurrence of activities can be examined in relation to the energetic input into the system, the transformation of energies within the system, and the resulting product or energetic output." Systems theory is basically concerned with problems of relationships, of structure, and of interdependence rather than with the constant attributes of objects." Similarly, a systems approach allows us to view an organization as a sub-system of a larger system.

Nadler, in defining a system as the effective interrelationship of the human, physical, and financial resources required to achieve one or more of the purposes of the unit, proposes seven elements that are interdependent within a system. They are: (1) *function* - the need for which the system exists - that is, its mission, aim, or purpose; (2) *inputs* - any physical items, information, and human beings in which processng is to be done; (3) *outputs* - the physical items, information, human beings, and or services which result from the processing of inputs; (4) *sequence* - the process, transformation, conversion, or order of steps or activities which changes the inputs into outputs; (5) *environment* - the physical and attitudinal factors within which all the other systems

elements operate: (6) *physical catalysts* – physical and financial resources in the steps of the sequence that aid in converting the inputs into outputs: and (7) *human agents* – human resources, activities and methods that aid in the conversion of inputs into outputs."

On the same dimension, Katz and Kahn propose that theoretical concepts begin with the input, output, and functioning of the organization as a system. In that regard, they identify two basic criteria for identifying social systems and determining their functions, which are (1) tracing the pattern of energy exchange or activity of people as it results in some output, and (2) ascertaining how the output is translated into energy which reactivates the pattern.[10] (See Table I). Thus, if we view systems as exchanging with the environment, we are further applying an open systems model.

C. Characteristics of Open Systems

Katz and Kahn identify open systems as characterized by (1) importation of energy from the external environment: "no social structure is self-sufficient or self-contained"[11] (2) transforming the energy available to them by creating a new product, training people or providing a service; (3) exporting some product into the environment; (4) furnishing a source of energy for the repetition of the cycle of activities; (5) importing more energy from its environment than it expends, thus, it can store energy and acquire negative entropy; (6) determining coding mechanisms for translating the information input, and negative feedback into analysis of functioning in relation to the environment; (7) a preservation of the character of the system. "Social systems will move toward incorporating within their boundaries the external resources essential to survival"; (8) the multiplication and elaboration of roles with greater specialization of function. In essence, they move in the direction of differentiation and elaboration; and (9) the principle of *equifinality* – a system can reach the same final state from differing initial conditions and by a variety of paths. There are many ways to produce a given outcome. From an open-systems perspective, Teacher Corps Projects have and do import energies from the external environment, which may often be related to new educational legislation and mandates, new standards for certification, etc. In transforming this energy, additional training dimensions are implemented, new services are created, new methodologies are pursued to perhaps assist the teacher to more effectively promote learning or provide personnel with strategies for effecting adoption by the larger system of transformation processes that have been effective or of new outputs, products or services.

D. The Coordinating and Controlling Components of Social Systems

A System has been identified as containing interdependent and patterned activities that are coordinated for specific goals or purposes. Mechanisms in all social systems exist in order to reduce and control the variability and instability of human actions. Task-oriented activities require some coordination of group effort; cooperative endeavors are often utilized to engender shared values and norms in the system; and variability is generally reduced by the existence of rules and regulations and enforcement procedures for adherence. Katz and Kahn maintain that:

> the social-psychological bases of social systems comprise the role behavior of members, the norms prescribing and sanctioning these behaviors and the values in which the norms are embedded. Roles describe specific forms of behavior associated with given tasks: . . . norms are the general expectations of a demand character for all role incumbents of a system; values are the more generalized ideological justifications and aspirations . . . At the level of role behavior it is simply a matter of expectancy about task performance; at the level of norms it is a matter of following the legitimate requirements of the system; at the level of values it is a matter of realizing higher moral demands.[12]

The interrelated components for the integration of social systems, then, are roles, norms, and values.

Jacob Getzels offers a model which further supports integrative components of social systems. Underlying his model is a conception of the social system as involving two classes of phenomena: "there are the institutions with certain roles and expectations that will fulfill the goals of the system; and there are individuals with certain

personalities and need dispositions inhabiting the system, whose observed interaction comprise group behavior. Therefore, behavior can be understood as a function of the elements of institution, role, and expectation which together constitute the *nomothetic* of normative dimension of activity in a social system: (sociological level of analysis) individual, personality, and need disposition constitute the *ideographic* dimension of activity in a social system (psychological level of analysis). In order to understand the nature of the behavior and to predict and control it, one must understand the nature of the relationship of the elements. Getzels goes on to offer these propositions: (1) the most important analytic unit is the role, for roles define behavior; (2) roles are defined in terms of role expectations with certain privilege obligations and responsibilities; (3) roles are complementary and are interdependent in that each role derives its meaning from other related roles; (4) goal-behavior is achieved through the integration of institutions, the definition of roles, and the setting of expectations for the performance of relevant tasks. This dimension is represented schematically as follows:

Social System	Institutions	Roles
Expectations	Institutional Goal-behavior	

On the psychological level of analysis, personality is defined as the dynamic organization within the individual of those need-dispositions that govern his unique reactions to and expectations in the environment. Need-dispositions are "individual tendencies to orient and act with respect to objects, and to expect certain consequences from these actions"; it is schematically represented as follows:[11]

Social System	Individuals	Personalities
Need-Dispositions	Individual Goal-behavior	

In conclusion, Getzels suggests that to understand the behavior and interaction of specific role-incumbents, we must know both the role-expectations and need-dispositions.

In summary, the systems approach allows us to view the organization as an organism and as a system which focuses on the interaction between organizational events. It also focuses attention on tasks activities, resource source identification, satisfying a number of variables that often achieve inconsistent goals, and on managing innovation and technology. Inherent in this approach is the assumption that we can look at organizations in a complex and multi-faceted way.

The usefulness of this approach warrants consideration in terms of Teacher Corps Projects. In these projects, the use of task activities is maximized in order to transform the energy from the environment; thus a high degree of member interaction occurs. These activities are coordinated to achieve specific purposes; specific roles and role groups are structural elements within the projects; and goal-achievement may be accomplished through various means. Obviously the varied and multiple dimensions of the systems approach generates many questions regarding analytical approach and measurement. The dimensions of relationship, the nature of the interacting factors, the relationship of structure to processes, and the significance of individual motivation and perception are complex areas within an analytical approach. It is important to remember as we attempt to handle the complexity of the areas, that the idea of "interrelatedness" suggests that everything that does occur is related to everything else, and that the concept of one-way causal trains is rejected.

E. Goal Realization

The systems approach is seen by many organizational analysts as not being an appropriate model for emphasizing the importance of goals as a component of analysis. Many of their criticisms can be summarized as follows: there is no universal standard by which goal effectiveness can be judged; all organizations have multiple and usually conflicting goals;[13] organizational goals are an extension of what the society needs for its own survival;[14] organizations can best be understood through a focus on individuals exchanging incentives and pursuing a variety of goals;[15] and goal emphases is seldom constant as the system continually responds to its environment. These criticisms point to the difficulty of utilizing the goal concept, as well as caution us on its use in analysis.

Etzioni defines an organizational goal simply as "a desired state of affairs which the organization attempts to realize."[18] Hall reflects on the goal of any organization "as an abstraction distilled from the desires of members and pressures from the environment and internal system."[19] Simon focuses on goals as being at the individual level, and the result of the interaction among the members of the organization. He observes that:

> Either we must explain organizational behavior in terms of the goals of the individual members of the organization, or we must postulate the existence of one or more organizational goals, over and above the goals of the individuals.[20]

Simon, in focusing on decision-making, concludes that goals become constraints on the decision-making process. Perrow postulates that there are "official" and "operative" organizational goals. Official goals are "the general purposes of the organization as put forth in the charter, annual reports, public statements by key executives and other authoritative pronouncements." Operative goals "designate the ends sought through the actual operating policies of the organization: they tell us what the organization actually is trying to do, regardless of what the official goals say are the aims."[21] Operative goals, then, are developed through interaction patterns within the organization, but persist after the interactions are completed, according to Hall. He further indicates that knowledge of these goals "is imperative for effective functioning and for the implementation of one's own ideas."[22]

Realizing that multiple goals which are often conflicting exist within organizations, and these goals often change given internal and external factors, we must still accept the basic notion that organizations do exist for a purpose. This purpose determines the organizational activities, resources, structure, and functioning. Simon's notion of their influence on the decision-making process and Perrow's focus on operative goals suggest that goals are an important dimension to organizational analysis. Goals and purposes offer guides to leaders and decision-makers, shape structure, and provide a framework for coordination and integration.

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II. Structure and The Organization

As we have previously noted, a social systems approach highlights the responsive character of the organization to the environment. Expanding that notion led Laurence and Lorsh to the conclusion that organizations attempt to "fit their structure and processes to the perceived environment."[25] Blau defines organizational structure as "the distributions along various lines, of people among social positions that influence the role relations among these people."[26] This definition emphasizes again the concept of *role*, as discussed earlier, and also implies hierarchy and functional expectations. Whether one maintains that the structure is the major determinant of organizational behavior or that individuals in connection with interaction processes determine organizational functioning, the importance of structure cannot be totally denied. Hall[27] suggests that structures "are designed to minimize or at least regulate the influence of individual variations on the organization," and that structure is the setting for power determination, for decision-making, and for the implementation of activities. He further maintains that structural characteristics and individual characteristics interact to produce the events within the organization.[28] One obvious implication of this assertion is that the individual's place in or reaction to the structure is related to how he/she will behave in the organization.

The central elements related to structure are formalization, complexity and centralization/decentralization. *Formalization* is the delegation of tasks — who will perform them, and how and when they will be performed in the system. *Complexity* is the degree of knowledge required to produce the system's output. *Centralization* or *decentralization* refers to power distribution, decision-making rights, and activity evaluation. Teacher Corps Projects do not tend to have high degrees of formalization, except perhaps in terms of the Director role, which suggests that as conditions change, as new tasks are assumed, and as personnel change, the degree of formalization remains fluid. It remains a crucial element, however, in terms of role and role expectations and performance. Similarly, projects may not reflect great complexity through horizontal or vertical differentiation. Some specialization, however, may be emphasized in terms of certain task areas or in terms of special innovations. Since Teacher Corps Projects are joint programs, the findings of Aiken and Hage seem important to note in relation to complexity and the society. They indicate:

> Our assumptions help to explain the increasing frequency of organizational interdependency, especially that involving joint programs. As educational level increases, the division of labor proceeds (stimulated by research and technology), and organizations become more complex. As they do, they also become more innovative. The search for resources needed to support such innovations requires interdependent relations with other organizations. At first, these interdependencies may be established with different goals and in areas that are more tangential to the organization. Over time, however, it may be that cooperation among organizations will multiply, involving interdependencies in more critical areas, and involve organizations having more similar goals. It is scarcity of resources that forces organizations to enter into more cooperative activities with other organizations, thus creating more integration of organizations into a community structure. The long-range consequence of this process will probably be a gradually heightened coordination in communities.[27]

Innovations and the institutionalization of new ideas are dominant foci of Teacher Corps Projects. The research of Baldridge and Burnham[28] compared the effects of structural characteristics and environmental conditions, with individual characteristics in terms of their impact on organizational innovation. They found organizational characteristics to be more strongly related to innovation in organizations. The extent to which power is distributed, decision-making is clear, and activities are evaluated will again be determined by the degree of role clarity and expectations, the efficacy of group behavior, and by the nature of the assessment and evaluation. Clearly, the Teacher Corps Director role, again, is crucial in clarifying, articulating, and responding to these dimensions of responsibility and accountability. Regardless of the fluidity, looseness, or quasi-formal nature of the structure, some type of structure is present in projects that determines roles, activities, and communication patterns.

III. The Individual and The Group in The Organization

Most approaches and theories in some manner express recognition of the importance of the individual and the collectivity in organizations. In our earlier review it is evident that some models give primary attention to the individual and the group, while others place a lesser degree of importance on the individual in relation to the larger organization. Regardless of placement focus in theoretical models, the behavioral dimensions of human involvement merits attention in organizational analysis. The task of examining the totality of the human presence in organizations would in itself be a monumental undertaking. In relating the individual and the group to our earlier reviews in this chapter, the focus of this discussion will be on individual need dispositions, role expectations, and the impact of the group and personality on the organization.

A. Individual Need Dispositions

Maslow's needs theory suggests that human beings strive to satisfy needs in the following order of potency: (1) physiological, (2) safety, (3) love, (4) esteem, and (5) self-actualization.[7] Jobs have come to serve as a primary source of social satisfaction inasmuch as they satisfy needs for membership, affection, affiliation, etc. They satisfy the need for affiliation in that jobs provide for maintenance of a family, for social relations with fellow workers, and for an avenue for interacting and confronting the world. Jobs also play a prominent part in determining one's self-esteem. Herzberg's hygiene theory, in line with Maslow's hierarchical model, reflects an emphasis on one's pursuing higher order needs that contribute to skill and competence.[8] McClelland and Atkinson[9] categorize motives into achievement, affiliation, power, and social. The characteristics of people with high achievement are: they favor situations where personal responsibility for problem solution is provided; they tend to set moderate achievement goals and to take "calculated risks," and they desire concrete feedback on their performance. Persons with a high need for affiliation, according to McClelland and Atkinson, seek the company of others and to be liked by others, thereby projecting a favorable image of interpersonal relations; and tend to mediate tensions in group settings, again, for the purpose of being liked in return. The power motive is concerned with dominance and impact over others. Social motives are learned and learning takes place when followed by positive states or rewards. Socially acquired needs for achievement, power, and affiliation, as well as the general need for competence, identifies patterns of behavior important to management. The behavior associated with each need can be instrumental in successful job performance. Whether one pursues a certain goal for realizing success leads us to consider Vroom's expectancy theory of motivation. Expanding on the path-goal hypothesis (the individual's movement toward goals is a function of his perception regarding the usefulness of productivity behavior to the attainment of goals), Vroom[10] posits the notion that behavior is perceived as instrumental for the achievement of some outcomes and the evaluation of the outcomes. (See Table III).

The valence is the strength of the individual's preference in a value for a particular outcome; the expectancies are the probabilities the person sees for accomplishing the task goal, and of being rewarded for his achievement; second level outcomes are the individual's needs. Thus, expectancy incorporates the notion that people have expectations concerning the outcomes that are likely to arise as a result of what they do. It also includes (1) the probability of the individual's accomplishing a particular goal, and (2) the individual's assessment of his/her own skills regarding accomplishing a particular goal.

B. Role

The concept of *role* as noted earlier is of critical importance in understanding organizational behavior, for individual behavior is frequently a function of position, job and system expectation. Whether individual behavior is viewed as being more closely related to position or status or to external expectations may relate to the definitional differences in the literature. On one hand, Gross, et al.[11] view role as the nominatively held "behavioral expectations" held by others who interact with the individual. Interactions with others provide the matrix for role definition. On the other hand, Katz and Kahn view role as:

> the major means for linking the individual and organizational levels of research and theory; it is at once the building block of social systems and the summation of the requirements with which such systems confront their members as individuals.[12]

They further indicate that "people are tied together because of the functional interdependence of the roles they play, and that "the normative requirements for these roles add an additional cohesive element."[13]

C. The Group

Groups can often offer a better index for accounting for attitudes and behavior than can individual characteristics. According to Hampton,[14] three interrelated elements are common to all groups: *interaction* (behavior between people); *activity* (the things people do); *sentiment* (emotional and mental processes inferred from people's activities and interactions). The individual again remains prominent in terms of group dynamics, for groups

serve the individual in terms of satisfying needs, (as discussed under need theory) providing support, and assisting in goal achievement. How groups can best assist the organization to meet its goals is determined by the director or manager who devises the work groups that shape the patterns of interaction, activity and sentiment. The primary group, defined by Kelly[17] as a group in which every member interacts directly and frequently, "may be thought of as the nucleus of all organizations. Kelly defines its functions as:

1. Providing emotional support for group members;
2. Facilitating horizontal communication;
3. Defining standards of performance;
4. Allowing role specialization;
5. Creating value systems;
6. Specifying acceptable norms, i.e., limiting and defining the means which are acceptable to group members;
7. Specifying sanctions for breaches of 3, 4, 5, and 6 above;
8. Exhibiting functional autonomy, i.e., after the original reason for the creation of the group has passed, the group will create new needs to exploit the social capital that the membership has generated.[18]

Groups, then, not only provide a mechanism for the individual to accrue certain benefits, but also provide the organization with a planned and formal pattern of interaction toward specific ends. In that respect, informal groups emerge that further enhance affiliation and membership needs of individuals. The impact of this informal structure on the formal structure is often evident by status designations and cohesiveness. In short, directors and managers must understand the dynamics of groups and their effect on the social order of the organization. (See Table IV).

D. Personality

In line with our earlier discussion of the systems approach, personality may also be viewed as an open system. Allport sees personality as engaged in an extensive transactional commerce with its environment. He defines personality as "the dynamic organization within an individual of those psycho-physical systems that determine his unique adjustments to his environment."[19] His emphasis on organization suggests the individual's integration of values, attitudes, needs, expectations, and abilities to produce an ultimate meaning in life. From that perspective, perception, coding, and structuring stimuli and information become crucial elements for study and observation. Kelly, in synthesizing personality theory and systems theory identifies the following guidelines:

1. Personality is an open system trading with the environment.
2. Perception involves an act of categorization; thus, it requires searching the environment for information.
3. Perceptions generate actions or a tending to act.
4. People strive for perceptual simplicity – they see things as a Gestalt.[20]

Since perceptions are derived from transactions with the environment, it is important to implement interactional processes that elicit perceptual views from organizational members regarding the environment in which they must function.

IV. Organizational Characteristics and Organizational Functioning

Looking at the organization in an interrelated aspect focuses attention on the totality of the organization's functioning. Its structural characteristics and the interaction activities and processes yield a picture of the patterns of events taking place in the organization. Essentially, we are maintaining that the formal interactions that result as a consequence of role, function, or task occur within boundaries of the system, between individuals, role incumbents, and sub-systems. The boundaries of the system are delineated within some form of structural framework. Katz and Kahn note that "the dynamic of a structure derives from the common interests of its members sharing a common fate, from the common norms for carrying out their functions, and the common values which rationalize and provide a rationale for activities."[11] As previously discussed, many variables and factors influence the carrying out of functions toward meeting the organization's goals. The discussion here attempts to look at the characteristics of *structure*, *decision-making*, *communications* and *leadership* as they affect functioning in the organization. Whether one characteristic can be weighed as having a greater effect on the organization as opposed to another characteristic remains a concern. In this regard, we again conclude that our approach is toward interrelatedness of factors or certainly a blend of certain factors. Returning to our focal characteristics as referrents for functioning, the following propositions are offered, some of which are supported by theory reviewed earlier, while others are somewhat speculative requiring additional research:

1. Structure designates the distribution of power, role, and role relationships.
2. Structure dictates the patterns of formal interaction.
3. Decision-making and organizational communication processes are a consequence of structure, and are mechanisms for linking the individual to the organization.
4. Leadership is exercised both through a structure as well as through the formal interaction processes.
5. The processes of decision-making and communication provide opportunities for member growth and satisfaction.

A. The Importance of Communications

The major function of the communications system is to provide information. Hall reinforces this position. He maintains that:

> Organizational structures, with their varying sizes, technological sophistication, and degrees of complexity and formalization are designed to be or evolve into information-handling systems. The very establishment of a structure is a sign that communications are supposed to follow a particular path . . . Power, leadership and decision-making rely upon the communication process either explicitly or implicitly, since these processes would be meaningless in the absence of information.[12]

The form that communications takes will vary given the nature and intent of the message. Regardless of purpose, however, communication is basically between individuals, and moves in many directions. Whether the established structure enables effective communication to occur is a critical factor in organizational study.

B. The Importance of Leadership and Decision-Making

Leadership (discussed in more detail later) is viewed in terms of organizational functioning from a management standpoint, that is, its importance in terms of a leader's impact on members and what they do. In line with the interlocking perspective utilized throughout our discussion, many other factors and constraints within the system vitally affect the managerial function. The extent of the impact of each of these factors cannot be specified either from speculation or from existing theory and research.

Relating leadership and decision-making, it is evident that leaders do make decisions. They make decisions in terms of stated or modified goals, processes for accomplishing goals, roles, and role incumbents, and involvement of others in the decision making process. The latter point recognizes that many structural positions are involved in the decision-making process, and that the degree, size and nature of the involvement dictates the type and amount of interaction needed.

V. A Structural Process Model Of Organizational Analysis

A model for organizational self-analysis will be proposed in this section. The key components within the model have been previously discussed in earlier sections. Before indicating the components or dimensions in the proposed model, it seems appropriate to clarify some of our assumptions about models. From a behavioral scientist perspective, the purpose of a model is to show relationships which encourage the conceiver of the model to play around with the variables. As such, according to Kelly,[11] a model:

1. Depicts how the phenomenon under consideration functions and operates;
2. Lacks complete empirical reference, but has some value in manipulating a particular phenomenon in order to gain a better insight into the relations and functions of the problem;
3. Is manipulable and highly subject to obsolescence.

Furthermore, the model being proposed relies on the systems approach as a basic conceptual framework for looking at several system variables. Fundamental to this approach is the acceptance of the complexity of the coordinating, interrelated and interdependent factors operative in the organization. Users of the systems approach should be reminded that no system or procedure is ever the ultimate system. Thus, the approach should be evaluated and revised in light of either significant changes in system or when other tools offer greater utility for analysis.

A. Purpose of the Analysis

The general purpose of the self-analysis is to assist project directors in determining areas where organizational problems exist. More specifically the data gathering and analytical processes are proposed in order to (1) provide directors with an initial and objective base for continuous self-evaluation: (2) clarify and sharpen the perceptions among Teacher Corps personnel: (3) refocus goals, tasks, and responsibilities: and (4) focus the planning and interaction processes that allow members to clarify and deal with perceptions, awareness gaps, feelings, and communication problems. (See Table V as these objectives relate to the decision process.)

B. Components of the Model

The conceptual levels of analysis are the *system*, the *group*, and the *individual*. The system through its structuring of *roles* and *role relationships* to achieve the *goals* of the organization will be examined. The group level of analysis will highlight information on the problem solving capability of the group, collective perspectives, information processes, and group morale. The individual level of analysis will be examined in terms of individual motivation, needs, and role-expectations and role performance. The focal levels of analysis are represented as follows:

System Level of the Model[11]

SYSTEM LEVEL	TYPICAL RESEARCH	
Individual	Productivity	
	Level of Illumination	
Group	Problem-solving capability	
	Size	
Organization	Structure	tall
		flat
	Effectiveness	

The critical dimension of each of these levels of analysis is *process*. Process is active, dynamic, and reveals what is done as a result of structure. Through observation and interaction, an analytical view of "what is" can be identified. "What ought to be" may also be determined through the interaction processes that are designed specifically to yield alternatives for structure, leadership, decision-making, or organizational communication. Through the structural processes of group involvement, directors are able to discern: what or where are the problem areas, how group members perceive the problem areas, and what strategies are required to alleviate the problem areas.

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Exercises for Organizational Analysis

Exercise 1. *Goal Orientation*

Exercise 2. *Structural and Coordinative Relationships*

Exercise 3. *Role and Role Relationships*

Exercise 4. *Individual Motivation and Occupation Values*

EXERCISES

Exercise 1. Goal Orientation (Total Group)

Purpose: The activity related to goal orientation is designed (1) to enable the director to ascertain the extent of goal understanding of project personnel and (2) to provide a process of perception sharing of personnel regarding specific project goals.

Procedure:

Step 1. The director and the project work group should review the project proposal for stated goal statements. The group should agree upon four major goals in terms of priority for the project.

Step 2. Assess each goal, through group dialogue, in terms of the seven focal areas. (See Appendix I for complete exercise.)

Step 3. The group should then state, with the director noting, next steps needed toward further goal refinement or goal achievement.

Time Needed: Regular Group Meeting – one hour to one and one half hours.

Exercise 2. Structural and Coordinative Relationships (Total Group) (Appendix I)

Purpose: This activity should follow the Goal Orientation (Exercise 1.). It is designed to enable participants to understand the structural relationships of the project personnel as they currently exist in helping the project to achieve its goals. Specifically this activity will enable the director to monitor the progress of individuals as the goal is implemented.

Procedure:

Step 1. Utilizing the four priority goals agreed upon from the previous exercise, each goal should be written where it is visible to the group.

Step 2. The group should then list the specific activities necessary to achieve the goal.

Step 3. Beside each activity should then be listed all role incumbents or personnel who should be involved in the implementation of the activity.

Step 4. Under each role incumbent should be listed the specific responsibilities or tasks of the individual in implementing the activity.

Step 5. Where several role incumbents are involved in a specific activity, a line should connect each role to the overlapping task or responsibility.

These steps should be repeated for the other three goals, or as many as the director wishes to review.

Exercise 3. Role and Role Relationships

Purpose: This activity is designed (1) to provide information to the director regarding the degree of role clarity of project personnel; (2) to enable personnel to validate their role understandings; (3) to provide information to the director regarding the structural relationships of role incumbents.

Procedure: The participants in the group should be comprised of *key* personnel in the project:

Step 1. Each participant should write down the major responsibilities of his/her role. They should also specify (1) the other key personnel with whom he/she communicates in carrying out role responsibilities; (2) the nature or content of the communication with others listed in (1); (3) to whom does he/she directly report; (4) from whom does he/she receive direct feedback regarding task performance.

Step 2. After the participants have written descriptions of their positions, one member of the group is to describe the responsibilities and role relationships of another member's assumed position as he perceives them to be; the member whose position is being described then reads his description to the group to reveal any discrepancies in perception to the group.

Step 3. This procedure should be followed until all members have responded twice — once to describe another's position and once to read his own position description. The group should postpone discussion of any discrepancies until all responses have been made.

Step 4. At the conclusion of the process, the director should facilitate the discussion regarding role definitions and role relationships of each role, and any conclusions about the nature of organizational structures.

Step 5. The group should reach sufficient agreement of role relationships or specify and record areas of ambiguity to be explored further.

Exercise 4. Individual Motivational and Occupation Values

Purpose: This activity is designed to (1) encourage participants to identify and share their own values and feelings; (2) encourage the giving of feedback to others; (3) provide an awareness of the impact on organization's characteristics and on the behavior of the individual's.

Procedure:

Step 1. The group should read the information on "Motivation" in the text and "The Individual and Goal Achievement" in Appendix 2.

Step 2. The group should then familiarize themselves with the Definition in Appendix 3. The definitional categories described are areas that represent a number of individual needs and values which could have a relationship to individual behavior in an organization.

Step 3. Complete the Assessment Form (See Appendix 4 for the form). Rank your own values, giving a ranking of "1" to the value or need which is most important to you, following with rankings of 2, 3, 4, etc. for values next in importance.

After rating yourself, rate the other members of your group according to how you perceive their values or goals. Write the name of the person being rated above the number on the form.

Complete the statement on the assessment form.

Step 4. Sharing of Ratings

After everyone has completed the rating form, the group should begin sharing the self-ratings as well as the ratings given to others. It is through the sharing process that some declaration of self and feedback from others can occur. It is important to remember that while the ratings of others may significantly differ from one's individual assessment, the perceptions of others do provide some indication of an individual's behavior as it appears to others.

GOAL ORIENTATION EXERCISE

GOAL 1: _____

_____

_____

_____

_____

1.1. Degree of Goal Understanding

To what extent has the goal been clearly understood by members of the group?

_____ To a great extent
_____ Quite a bit
_____ To some extent
_____ A little
_____ Not at all

1.2. Involvement in Goal Implementation

List the key role incumbents that have been involved in the specific implementation of the goal.

_____

_____

_____

_____

_____

_____

_____

_____

_____

1.3. Motivation and Knowledge Associated with Goal

1.3.1. Motivation Associated with Goal

To what degree have the individual(s) repsonsible for the implementation of this goal been sufficiently motivated to pursue and achieve this goal?

_____ To a great extent
_____ Quite a bit
_____ To some extent
_____ A little
_____ Not at all

40

1.3.2. Knowledge Associated with Goal

To what degree have the individual(s) responsible for the implementation of this goal had sufficient knowledge to pursue and achieve this goal?

_____ To a great extent
_____ Quite a bit
_____ To some extent
_____ A little
_____ Not at all

1.4. Risk Associated with Goal

To what extend has there been a "risk factor" associated with the achievement of this goal?

_____ To a great extent
_____ Quite a bit
_____ To some extent
_____ A little
_____ Not at all

1.5. Progress Toward Goal Achievement

What progess has been made toward the achievement of this goal?

_____ Excellent
_____ Good
_____ Somewhat good
_____ Not too good
_____ Not at all

1.6. Evidence Indicating Progress

Utilizing any progress reports, evaluation reports, dialogue within the group, etc., state how progress has been determined.

_____
_____
_____
_____
_____
_____
_____
_____
_____
_____

1.7. Constraints Associated with Goal

Identify constraints which limit or otherwise affect the achievement of this goal.

_____ Relationship of participant organizations
_____ Structure of the project
_____ Time and scheduling
_____ Role perceptions
_____ Individual functioning
_____ Constituent participation (specify which constituent)
_____ External structures (specify)
_____ Internal structures (specify)
_____ Other (specify)

1.8. Next Steps

Appendix 2

THE INDIVIDUAL AND GOAL ACHIEVEMENT

The behavior of individuals in an organization most often has an impact on the ability of the organization to move toward its goals. While personal expectations or values do not necessarily necessitate structural actions, a consideration of the individual and his feelings represents a crucial process in the analysis of organization structure. The individual, then, represents a level of analysis which should be pursued. It is proposed through symbolic interaction theory that the individual has parts of himself which are reflections of his relationship with others. Peter McHugh[1] points out that "the standards of the actor, his way of making definitions, are the bases of action, and that actions are the analytic bases of institutions." He concludes that "we need to describe how members define their situations, how objects are meaningful, and how that meaning shifts the cause of one's association with those objects." In functional analysis, it is essential to know what personal goals people have and whether or not personal goals and motivations conflict with those of the organization. Parsons[2] suggests that in its most direct sense, the social system is concerned with the motivation of the individual, and with his level of gratification. He continues that "structurally the most critical component of social systems is institutionalized values; values are institutionalized when they are internalized within the personality of the individual." Satisfying factors that involve feelings of achievement, professional growth, and recognition that one can experience in a job that offers challenge and scope are referred to as motivators (Hersey and Blanchard, 1972).[3]

Appendix 2A

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A PROFILE OF
INDIVIDUAL MOTIVATION AND OCCUPATION VALUES

DEFINITIONS

A. **SOCIAL WELFARE** – Wants to help others, and to have one's efforts result in benefit to others.

B. **SELF-EXPRESSION** – Wants to have one's behavior consistent with one's self-concept.

C. **RECOGNITION AND APPROBATION** – Wants to have one's self, one's activities, and other things associated with one's self known and approved by others.

D. **AFFECTION AND AFFILIATION** – Wants to have a feeling of acceptance and a sense of belongingness with work associates.

E. **COMPETENCE** – Wants to be knowledgeable and skillful so that there is adequate utilization of one's abilities and the results of one's work can be known.

F. **LEADERSHIP** – Wants to have power and influence over others.

G. **MORAL VALUE SCHEME** – Wants to have one's behavior consistent with some moral code or structure.

H. **CREATIVITY** – Wants a job that meets new problems requiring initiative, inventiveness, and creativity.

I. **INDEPENDENCE** – Wants to direct one's own behavior rather than be subject to the supervision of others.

J. **SECURITY** – Wants a job that assures one of a continuing income rather than one than is temporarily based and is unstable and insecure.

K. **REWARD** – Wants to be appropriately rewarded (formal recognition, letters, pay increase, etc.) for performance.

A PROFILE OF INDIVIDUAL MOTIVATION AND OCCUPATION VALUES: SELF-PERCEPTION AND PERCEPTION OF OTHERS

	(1)	(2)	(3)	(4)	(5)
	Yourself	Ratee	Ratee	Ratee	Ratee
A. SOCIAL WELFARE					
B. SELF-EXPRESSION					
C. RECOGNITION AND APPROBATION					
D. AFFECTION AND AFFILIATION					
E. COMPETENCE					
F. LEADERSHIP					
G. MORAL VALUE SCHEME					
H. CREATIVITY					
I. INDEPENDENCE					
J. SECURITY					
K. REWARD					

Statement: Reflecting on your individual "1" and "2" rankings, "how has the structure or functioning of your Teacher Corps Project allowed for or contributed toward the satisfaction of the two most important values which you have?"

TABLE I

ORGANIZATIONAL INPUT-OUTPUT MODEL

INPUT	TRANSFORMATION	OUTPUT
ENERGY	ORGANIZATION	ECONOMIC
MATERIALS		
INFORMATION	PROCESSES	VALUE ADDED
PEOPLE		

Taken from:

Joe Kelly's *Organizational Behavior* (Homewood, Illinois: Richard Irwin, Inc., 1974), p. 134.

TABLE II

COALITIONS BARGAIN TO ACHIEVE GOALS

	Coalition	Coalition	
	BARGAINING		
ORGANIZATIONAL SLACK			GOALS
	Coalition	Coalition	
	Exchange of side payments		

Taken from:

Joe Kelly's *Organizational Behavior* (Homewood, Illinos: Richard Irwin, Inc., 1974), p. 460.

TABLE III

VROOM'S MODEL OF MOTIVATION

	Expectancy 1		Expectancy 3
Individual's motivation a l force = Valence x Expectancy	Task Goal	Outcome 1 Reward	Outcome 2 Need
		Instrumentality	

Taken from:

Joe Kelly's *Organizational Behavior* (Homewood, Illinois: Richard Irwin, Inc., 1974), p. 287.

TABLE IV

THE GROUP AS A SYSTEM

ENVIRONMENT

Perceptual boundary

STRUCTURE

*Rules, roles, relations
*Network of expectations, communications

PROCESS

*Role playing
*Problem-solving phases
*Public-hidden agendas
*Consensual validation
*Engineering conformity
*Reinforcements, sanctions
*Socialization
*Unfreezing-changing

	Critical dimensions	GROUP ORGANIZATION (group of groups)	End Products	TASK Accomplishing group tasks to achieve goals

VALUES

*Expressed in norms to achieve goals
*Norm of reciprocity
*Democracy, participation, communication
*Status

Methods of research

OBSERVATION Interaction profile	SELF-REPORT Sociometry

Taken from:
Joe Kelly's *Organizational Behavior* (Homewood, Illinois: Richard Irwin, Inc., 1974), p. 353.

TABLE V

A POSSIBLE DECISION PROCESS SEQUENCE

GOAL FORMULATION

	1. Perceived problem
	2. Formulation of alternatives
DECISION	3. Set up standard operating procedures as decision rules
	4. Select first alternative meeting
OPERATION	5. Implement
CONTROL	6. Evaluate performance
ADAPTATION	7. Change operating rules

NEW FORMULATION OF GOALS

Taken from:

Joe Kelly's *Organizational Behavior* (Homewood, Illinois: Richard Irwin, Inc., 1974), p. 461.

SECTION II

LEADERSHIP, THE CONCEPT, SELECTED EMPIRICAL FINDINGS AND RELATED TRAINING ACTIVITIES

LEADERSHIP
THE CONCEPT, SELECTED EMPIRICAL FINDINGS AND RELATED TRAINING ACTIVITIES

BY
Gary P. Johnson
and
William A. Lessa

TABLE OF CONTENTS

		Page
I.	Introduction	1
II.	Leadership	2
	A. *The Concept of Leadership*	2
	B. *Leadership as a Personality Trait*	4
	C. *Effective Leader Behavior*	7
	D. *Situational Approaches: Fiedler's Contingency Model*	16
	E. *Vroom and Yetton's Normative Model*	25
	F. *The Managerial Grid*	37
Notes		43
Bibliography		46
Appendix A: A Guide to the Learning Exercises		48
Appendix B: The Learning Exercises		52

LIST OF TABLES

TABLE	Page
1. Proposed Leadership Dimensions and Descriptions by Stogdill	
2. Dimensions of Leadership: Comparisons and Similarities	
3. LBDQ Items by Subscale	
4. Quadrants Formed by Using the LBDQ Dimensions	
5. Classification of Situations According to Favorableness	
6. Problem Attributes	

LIST OF FIGURES

FIGURE — Page

1. Leadership Style, Situation, and Effectiveness
2. Schematic Representation of Variables Used in Leadership Research
3. Decision Process Flow Chart
4. The Managerial Grid

I. Introduction

Organizational effectiveness depends on numerous factors. One factor that appears to be particularly important is the nature and quality of organizational leadership. Society as well as organizations have always considered leaders necessary and important relative to organized human activity, and as one author recently put it, "the effective functioning of social systems from the local PTA to the United States of America is assumed to be dependent on the quality of their leadership."[1]

Given that leadership impacts on organizational effectiveness and the productivity of organizational members, it is reasonable to expect that a sound understanding of it and related phenomena may produce substantial benefits both for the organization and the individual members alike. Therefore, it is the purpose of this module to selectively explore, both conceptually and practically, the nature of leadership. More specifically, the concept of leadership will be discussed along with related empirical findings.[1] Also, certain exercises or activities that relate directly to the discussions and empirical findings on leadership will be set out at appropriate points throughout the module.

This module has two primary objectives which should be noted at the outset. First, it has been designed to provide the user with an understanding of the nature and complexity of leadership. Second, it is anticipated that the module and related activities will improve leader effectiveness and increase the number of initiated leadership acts.

The literature on leadership is extensive. No attempt is made here to be exhaustive in our discussion of the subject. Rather, we have been selective on certain criteria: (1) that the material provide an understanding of how the concept of leadership has developed and changed, (2) that the models of leadership be empirically grounded, and (3) that the material discussed have direct implications for practitioners. In short, an extensive review of the leadership literature is beyond the scope of this module and is not deemed appropriate to the realization of the module's objectives.

Empirical Studies of Leader Traits. If we start with the assumption or view that leadership is a personality trait, then it is reasonable to expect that those individuals presently occupying higher level positions in organizations would, on the average, possess more of the leadership attributes than individuals in lower level positions. This view led Shartle and Stogdill to suggest that "persons who occupy positions which are commonly assumed to demand leadership ability are proper and likely subjects for the study of leadership."[11] This approach formed the basis for a large number of studies that examined the differences in personality traits between leaders and followers, including such diverse leader-follower comparisons of bishops and clergyman, sales manager and salesmen and railway presidents and station managers.

The results of these many studies have been treated in some detail by a number of researchers[12] and therefore will only be summarized briefly here. It appears that only a few traits, if any, tend to distinguish leaders from non-leaders. In addition to being slightly superior on such physical attributes as weight and height, leaders tend to score *slightly* higher on tests of intelligence, adjustment, dominance and self confidence than non-leaders. The differences tend to be small in magnitude with large amounts of overlap between the distributions of scores of leaders and followers. Further, it has not been determined how much of the differences on the test scores reflect the effects of occupying a leader position. In other words, occupying the role of a leader may contribute to better adjustment or self-confidence rather than having those traits increasing the probability of being selected as a leader. Perhaps most important, the many studies on personality traits of leaders indicate considerable variance *across situations* in both the magnitude and the direction of the relationship between most personality traits and leadership status.

Thus, the search for personality traits that differentiate leaders from non-leaders has been largely unsuccessful. The major reviews of the "personality trait literature" clearly indicate there is no identifiable consistent set of traits that identify successful leaders. For example, Mann reviewed 125 research studies on leadership that had generated over seven hundred findings on various personality traits of leaders.[13] What Mann observed in many instances was consistent contradiction in the findings across the different studies. Certain traits tentatively isolated as crucial in one study were found to be non-crucial in another study. That is, in some groups effective leaders were perceived as assertive and aggressive, while in other groups they were perceived as low key and restrained; in some, quick to make decisions and in others, reflective and slow to act. In all, the trait approach to leadership may be said to have led to negligible, inconsistent and confusing results:

> From all these studies of the leader (traits) we conclude that: (a) there are no general leadership traits or, if they do exist, they are not described in and of our familiar psychological or common sense terms, (b) in a specific situation, leaders do have traits which set them apart from followers, but what traits set what leaders apart from what followers *will vary from situation to situation.*[14]

In sum, the conception of leadership as a "personality trait" is an oversimplification which indirectly sought to identify the best leader. And as one author put it "the question, 'who will be the best leader?' is akin to asking, 'which will be the best fishing bait?' Neither question can be adequately answered *as stated.*"[15]

C. Effective Leader Behavior

As it became apparent there were no stable and situationally invariant personality characteristics which differentiated leaders from followers, or effective leaders from less effective leaders, the focus of inquiry turned to an examination and consideration of effective leadership styles or methods. In other words, the idea emerged that effective and ineffective leaders, or leaders and non-leaders, may not be distinguishable by a set of psychological tests but might be distinguished by their characteristic behavior patterns within their work roles.

Conceptualizations of research on leadership behavior tend to suggest that leader behavior is multidimensional and capable of being categorized generally as concerned with two fundamental phenomena – the organizational task and the individual relationships in the organization. For instance, Cartwright and Zander,[16] after considerable research on leadership behavior, describe leadership behavior in terms of two group functions:

II. Leadership

A. The Concept of Leadership

As we shall see, the concept of leadership is complex. To gain some awareness of its conceptual complexity we need only examine several typical definitions found in the literature on leadership:

> Leadership in organization involves the exercise of authority and the making of decisions.[1]
>
> To lead is to engage in an act that initiates a structure-in-interaction as part of the process of solving a mutual problem.[2]
>
> Leadership is the initiation of a new structure or procedure for accomplishing an organization's goals and objectives or for changing an organization's goals and objectives.[6]
>
> Leadership is power based predominantly on personal characteristics, usually normative in nature.[7]
>
> Leadership is the process of influencing the activities of an organized group toward goal setting and goal achievement.[8]
>
> The leader is the individual in the group given the task of directing and coordinating task-relevant group activities.[9]

Further, discussions and studies of leadership make the distinction between formal and informal leaders, and appointed and elected leaders.

Katz and Kahn[10] have conceptualized leadership as consisting of three fundamental components: (1) an attribute of an office or position: (2) a personal characteristic: and (3) a category of actual behavior. For instance, a Teacher Corps project director occupies a leadership position: a network director occupies an even higher leadership position. In addition, there are individuals in the Teacher Corps organization who are not in formal positions of authority, but nevertheless possess and do exert influence and power. On the other hand, some individuals who occupy a leadership role do not always exercise that influence, while there are some individuals who exercise leadership in one position or situational context and not in others. And however one thinks about leadership, it must necessarily imply followers because there can be no leaders without followers. However, it has been determined that the situations or conditions under which different individuals and groups will follow varies considerably. Thus the concept of leadership is complex and somewhat illusive because it depends on several factors including the position, leader behavior, his/her personal characteristics, and the nature of the situation itself. These factors and their relationship to one another will be evidenced as we proceed through the leadership part of the module.

B. Leadership as a Personality Trait

One conception of leadership which is still commonly accepted by many and has been the starting point for a considerable amount of research views leadership as a personality trait that is distributed in some way throughout the population. This view assumes that individuals vary in terms of the amount of this trait and that these differences are essentially measurable. The empirical studies based on the conception of leadership as a personality variable have been couched in psychology and psychological terms, and as such, have been predominantly concerned with the nature and measurement of leadership.

(1) goal achievement or the achievement of some specific group goal, and (2) group maintenance or the strengthening of the group itself.

Bowers and Seashore set out four basic dimensions that comprise leader behavior:

1. *Support*. Behavior that enhances someone else's feeling of personal worth and importance.
2. *Interaction facilitation*. Behavior that encourages members of the group to develop close, mutually satisfying relationships.
3. *Goal emphasis*. Behavior that stimulates an enthusiasm for meeting the group's goal of achieving excellent performance.
4. *Work facilitation*. Behavior that helps achieve goal attainment by such activities as scheduling, coordinating, planning, and by providing resources such as tools, materials and technical knowledge.[17]

It is evident that these four dimensions of leader behavior can be collapsed easily into two basic dimensions with support and interaction facilitation behavior being categorized as group maintenance functions, and goal emphasis and work facilitation being categorized as goal achievement functions.

Stogdill has set out twelve dimensions of leadership behavior which have been subsequently categorized as system-oriented and person-oriented by Hoy and Miskel. These twelve dimensions appear in Table 1.

TABLE 1
PROPOSED LEADERSHIP DIMENSIONS AND DESCRIPTIONS BY STOGDILL[18]

Systems Oriented	*Person Oriented*
PRODUCTION EMPHASIS – applies pressure for productive output.	**TOLERANCE OF FREEDOM** – allows staff members scope for initiative, decision, and action.
INITIATION OF STRUCTURE – clearly defines own role and lets followers know what is expected.	**TOLERANCE OF UNCERTAINTY** – is able to tolerate uncertainty and postponement without anxiety or upset.
REPRESENTATION – speaks and acts as the representative of the group.	**CONSIDERATION** – regards the comfort, well-being, status, and contributions of followers.
ROLE ASSUMPTION – actively exercises the leadership role rather than surrendering leadership to others.	**DEMAND RECONCILIATION** – reconciles conflicting demands and reduces disorder to system.
PERSUASION – uses persuasion and argument effectively, exhibits strong convictions.	**PREDICTIVE ACCURACY** – exhibits foresight and ability to predict outcomes accurately.
SUPERIOR ORIENTATION – maintains cordial relations with superiors, has influence with them, and strives for higher status.	**INTEGRATION** – maintains a closeknit organization and resolves intermember conflicts.

Hoy and Miskel compare the work of numerous theorists and researchers on leader behavior and their comparison (presented in Table 2) supports the two-dimensional description of leader behavior. Regarding their comparison, they conclude that while their review of the literature is not exhaustive:

> it . . . generally does support a dual leadership model: that is, two general and distinct categories of leader behavior emerge – one concerned with people and interpersonal relations and the other with production and task achievement.[19]

TABLE 2[20]
DIMENSIONS OF LEADERSHIP: COMPARISONS AND SIMILARITIES

Theorist	*Concern for Organizational Tasks*	*Concern for Individual Relationships*
Barnard	Effectiveness	Efficiency
Etzioni and Parsons	Instrumental Activities	Expressive Activities
Cartwright and Zander	Goal Achievement	Group Maintenance
Getzels and Guba	Nomothetic	Ideographic
Halpin	Initiating Structure	Consideration
Kahn	Production and Orientation	Employee Orientation
Bales	Task Leader	Social Leader
Bowers and Seashore	Goal Emphasis	Support
	Work Facilitation	Interaction Facilitation
Brown	System Orientation	Person Orientation
Stogdill	Production Emphasis	Tolerance of Freedom
	Initiation. Structure	Tolerance of Uncertainty
	Representation	Consideration
	Role Assumption	Demand Reconciliation
	Persuasion	Predictive Accuracy
	Superior Orientation	Integration

The Ohio State Studies. In order to better understand the two fundamental dimensions of leader behavior, we turn now to a specific discussion of perhaps the best known studies of leader behavior – the Leadership Behavior Description Questionnaire (LBDQ) Studies started at Ohio State in the 1940's. These investigations began by attempting to identify certain dimensions necessary for characterizing differences in the behavior of leaders. The statistical analysis employed was factor analysis. Originally four leadership behavior factors were identified, however two of them accounted for the largest part of the variance and have subsequently been the subject of most of the research. The two factors or dimensions of leader behavior that are measured by the LBDQ are initiating structure and consideration. The individual items (or questions) making up each factor are contained in Table 3. The LBDQ was originally developed by Hemphill and Coons[21] and later by Halpin and Winer.[22]

As the items in the first column of Table 3 suggest, initiating structure is leader behavior that defines the relationship between the leader and his subordinates while simultaneously establishing defined patterns of organization, channels of communication and procedural methods. On the other hand, the items under consideration in column two describe leadership behavior that reflects friendship, warmth, trust, interest and respect in the relationship between the leader and members of the task group.[23]

The thirty items listed in Table 3 are listed randomly on the questionnaire and respondents are asked to describe a designated leader's behavior on a five point scale: always, often, occasionally, seldom, or never. Separate scores for each dimension of leader behavior are calculated by summing the item responses relating to each dimension – initiating structure and consideration.

TABLE 3
LBDQ ITEMS BY SUBSCALE

Initiating Structure Items	*Consideration Items*
1. He makes his attitudes clear to the staff.	1. He does personal favors for staff members.
2. He tries out his new ideas with the staff.	2. He does little things to make it pleasant to be a member of his staff.
3. He rules with an iron hand.*	3. He is easy to understand.
4. He criticizes poor work.	4. He finds time to listen to staff members.
5. He speaks in a manner not to be questioned.	5. He keeps to himself.*
6. He assigns staff members to particular tasks.	6. He looks out for the personal welfare of individual staff members.
7. He works without a plan.*	7. He refuses to explain his actions.*
8. He maintains definite standards of performance.	8. He acts without consulting the staff.*
9. He emphasizes the meeting of deadlines.	9. He is slow to accept new ideas.*
10. He encourages the use of uniform procedures.	10. He treats all staff members as his equals.
11. He makes sure that his part in the organization is understood by all members.	11. He is willing to make changes.
12. He asks that staff members follow standard rules and regulations.	12. He is friendly and approachable.
13. He lets staff members know what is expected of them.	13. He makes staff members feel at ease when talking with them.
14. He sees to it that staff members are working up to capacity.	14. He puts suggestions made by the staff into operation.
15. He sees to it that the work of staff members is coordinated.	15. He gets staff approval on important matters before going ahead.

*Scored negatively

Studies using the LBDQ indicate that the two dimensions of leader behavior are relatively independent of one another. That is, initiating structure and consideration are not on the same end of a continuum and thus our leadership styles or behaviors can be established and analyzed by cross partitioning on the mean score values of each scale. This is depicted in Table 4. Each subscale is divided into high and low groups, and when combined with one another, results in four quadrants, each reflecting a different leadership style.

Table 4 is interpreted as follows. If a leader's score is above the mean on both initiation of structure and consideration, he/she is placed in Quadrant I, the (+, +) quadrant; those below the mean on both dimensions fall into or are placed in Quadrant II, the (−, −) quadrant; those who score below the mean in consideration, but above the mean in initiating structure are placed in Quadrant II, the (−, +) quadrant; and those who score above the mean in consideration but below the mean in initiating structure are placed in Quadrant IV, the (+, −) quadrant.

Halpin summarizes the major findings of the Ohio State LBDQ studies:

1. Initiating structure and consideration as measured by the LBDQ are fundamental dimensions of leader behavior.
2. Effective leader behavior tends most often to be associated with high performance on both dimensions.

TABLE 4
QUADRANTS FORMED BY USING THE LBDQ DIMENSIONS

Initiating Structure Axis	
Quadrant II	Quadrant I
Low Consideration (-)	High Consideration (+)
High Initiating Structure (+)	High Initiating Structure (+)
II = (-, +)	I = (+, +,) Consideration Axis
Quadrant III	Quadrant IV
Low Consideration (-)	High Consideration (+)
Low Initiating Structure (-)	Low Initiating Structure (-)
III = (-, -)	IV = (+, -)

3. Superiors and subordinates tend to evaluate the contributions of the leader behavior dimensions oppositely in assessing effectiveness. Superiors tend to emphasize initiating structure, whereas subordinates are most concerned with consideration. Hence, the leader often finds some degree of role conflict.
4. The leadership style characterized by Quadrant I, high in both dimensions, is associated with such group characteristics as harmony, intimacy, and procedural clarity, and with favorable changes in group attitude.
5. There is only a slight relationship between how leaders say they should behave and how subordinates describe that they do behave.
6. Different institutional settings tend to foster different leadership styles.

Elsewhere, Vroom summarizes the research findings and major conclusions concerned with the relations between consideration and initiating structure scores and criteria of leader effectiveness:

1. Leaders who are high on consideration tend to have subordinates who are more satisfied with their leader than those who are low in consideration. Their subordinates are also more likely to have fewer absences and lower grievances rates.
2. The relationship between consideration and rated leader effectiveness varies substantially with the population. Negative correlations have been reported for air crew commanders in combat and production foremen, while positive correlations have been reported for non-production foremen, petrochemical supervisors and both managers and office staff in a large industrial firm.
3. Similarly, coorelations between initiating structure and rated effectiveness while tending to be positive also show considerable variability with a substantial number of reports of zero or negative relationships.
4. There is an indication from one study that consideration and initiating structure interact in determining both grievances and turnover rates. In general, low consideration and high initiating structure were found to be independently associated with high grievances and turnover. However, the positive relationship between initiating structure and turnover was more marked among those who were low in consideration than among those high in consideration. Similar results with respect to productivity have been reported . . .

The fact that there are few consistent findings that are both situation and population independent has recently lead many leadership theorists and researchers alike to the conclusion that attention must be given to the search for the situational variables which affect the relationship between consideration and initiating structure and organizational or leader effectiveness.[25] Or, in other words, under what situations are consideration, initiating structure or other leadership styles important to leader and organizational effectiveness?

D. Situational Approaches: Fiedler's Contingency Model[26]

In the previous part of this model we have shown that it is necessary ultimately to consider situational demands in order to obtain a full understanding of the nature and process of leadership. As we have seen, attempts to determine the kinds of personality traits or leader behaviors which are typical of effective leaders have led to no consistent results, independent of situation. Thus, empirically the question becomes one of determining the kinds of leading behaviors which are effective in different situations; that is, looking at the relationships between leadership styles, situations and criteria of leader effectiveness. Theoretically, it is necessary to develop a set of concepts which are capable of dealing with differences in situations and a parallel set of concepts capable of dealing with differences among leadership styles.

A new definition of leadership emerges with this focus on situations – not as a set of personality traits or a well defined pattern of behavior – but rather as a role to be executed, a job to be done, or a set of functions to be carried out. Typically leadership functions are distinguished relative to two group functions: (1) the achievement of goals external to the group, and (2) the maintenance or strengthening of the group itself. These functions may vary in importance as well as in their particular nature both across and within groups. Such a conceptualization results in the expectation that effective leader behavior would also vary.

Fiedler's[27] contingency model is probably the best known situational approach; it attempts to reconcile differences in situational demands with certain personal traits. The model has been tested in a variety of social settings over the past twenty years and attempts to determine which one of the leader's personality characteristics affects performance of his/her group or organization. Two fundamental assumption underlies the model:

1. that leadership style is determined by the needs the individual seeks to satisfy in the leadership situation, and
2. that the effectiveness of the group's performance is *contingent* upon the appropriate matching of leadership style and the degree of favorableness of the leadership situation for the leader; that is, the extent to which the situation provides the leader with influence over his workers.[28]

In items of our earlier discussion, it is necessary to point out the distinction Fiedler makes between leadership style and leadership behavior:

> The distinction between leadership style and leadership behavior is critical for understanding the theory . . . important leadership behaviors of the same individual differ from situation to situation, while the need structure which motivates these behaviors may be seen as a constant.[29]

Thus leadership behavior, according to Fiedler's conception, indicates the specific behavior of a leader in the context of a group task, while leadership style indicates the basic attitudes a leader has that motivate his/her behavior in various leadership situations.

The variable used by Fiedler to characterize differences among leaders requires asking a leader to think of the person with whom he/she can work least well on a common task and to describe him/her on an eight point scale for each of a set of sixteen bipolar items, such as pleasant-unpleasant, helpful-frustrating, distant-close, friendly-unfriendly, gloomy-cheerful. The questionnaire is called the Least Preferred Co-Worker Scale (LPC), and a high numerical score indicates that the respondent describes the person with whom he/she is least able to work on a shared task in relatively favorable terms. Conversely, a low score on the LPC indicates that he/she describes the person in very unfavorable terms.

Fiedler has identified two contrasting leadership styles as a result of his research. Task oriented leaders (those scoring low on the LPC) obtain major need satisfaction from the successful accomplishment of the task. On the other hand, relationship-oriented leaders (those scoring high on the LPC) derive major need satisfaction from successful interpersonal relations or effective task completion.

As noted above, one underlying assumption of the contingency model is that different types of situations require different types of leadership styles. Thus a second major component of the contingency model is the situation; specifically, the extent to which the situation *itself* allows or enables the leader to exert his/her influence. Fiedler classified the favorableness of the group situation across three dimensions – task structure, position power of the leader, and leader-member relations:

1. the degree of structure involved in the task (for example, open hearth steel crews were classified as highly structured and ad hoc student groups were classified as unstructured);
2. the amount of power given to the leader by virtue of his/her position (for example, informal leaders of high school basketball teams and surveying teams were classified as having low position power and ROTC groups with officially appointed leaders and managers of gas stations were classifed as having high position power); and
3. the quality of interpersonal relationships between the leader and members (this variable was measured for each group, by sociometric ratings or by other methods.)[m]

If each of these three situational dimensions is dichotomized – structured-unstructured tasks, high-low position power and good-bad leader member relations – eight combinations, or octants, are possible that describe a range of situations from highly favorable to highly unfavorable. These eight possibilities are depicted in Table 5. For example, Octant 1 is the most favorable situation, characterized by structure task, high position power, and good leader-member relations. The least favored situation, on the other hand, is found in Octant VIII, where the situation is characterized by an unstructured task, low position power, and poor leader-member relations.

TABLE 5
CLASSIFICATION OF SITUATIONS ACCORDING TO FAVORABLENESS

Octant	*Degree of Favorableness*	*Task Structure*	*Position Power of the Leader*	*Leader-Member Relations*
I	Favorable	Structured	High	Good
II		Structured	Low	Good
III		Unstructured	High	Good
IV	Moderate	Unstructured	Low	Good
V		Structured	High	Poor
VI		Structured	Low	Poor
VII		Unstructured	High	Poor
VIII	Unfavorable	Unstructured	Low	Poor

Adapted from F. Fiedler, *A Theory of Leadership Effectiveness* (New York: McGraw-Hill, 1967).

Leader effectiveness, style, and situation. At this point it is now possible to ask the question, which style of leadership is most effective in which type of situation? Leader effectiveness was defined by Fiedler as the extent to which the group accomplished its primary task. Fiedler argued that while the group's output is not entirely a function of the leader's skills, the leader is judged nevertheless on how well the group achieves its task.

Using data collected in a wide variety of group situations over a ten year period, Fiedler categorized the type of situation (in terms of the eight Octants), determined the style of the leader, and determined which groups performed their task successfully or unsuccessfully. Then for each group, the degree of group performance (effectiveness) was correlated with leadership style. The resulting correlations were then plotted separately for each of the eight situations, presented as Octants in Table 5. Plotting the median correlations for each situation yields a relationship approximating an inverted U. The relationship is depicted in Figure 1.

Figure 1 suggests that the appropriateness of the leadership style for maximizing group performance is contingent on the favorableness of the situation. In other words, there is a definite correlation between leader's LPC score and group effectiveness that is highly related to the unfavorableness of the situation as perceived by the leader. The data depicted in Figure 1 indicate that task oriented leaders are more effective in situations that are either highly favorable or in situations that are relatively unfavorable. On the other hand, relationship oriented leaders tend to be more effective in situations that are moderately favorable.

Practical Implications of Fiedler's Contingency Model. In essence Fiedler's model is a system for predicting which leaders will be effective in different situations. Its fundamental implications are for the process of recruitment, selection and placement of leaders in various organizational units. As Fiedler notes in this regard:

> If our theory is correct, then the recruitment and selection of leaders can be effective only when we can also specify the relevant components of the situation for which the leader is being recruited. There is no reason to believe that this cannot be done or that this should not be done in specific cases. Difficulties arise because leadership situations change over time. The organization must then be aware of the type of leadership situations in which the individual should be successively guided, but this is basically no different than seeing that an electrical engineer does not get assigned to bookkeeping duties.[31]

Another application of this model is referred to by Fiedler as organizational engineering. It concerns changing the situation to correspond to the personality characteristics or needs of the leader. More specifically, if a leader's LPC score is not suited to the situational demands he/she faces, the contingency model provides a rationale for altering the situation to improve his/her performance.

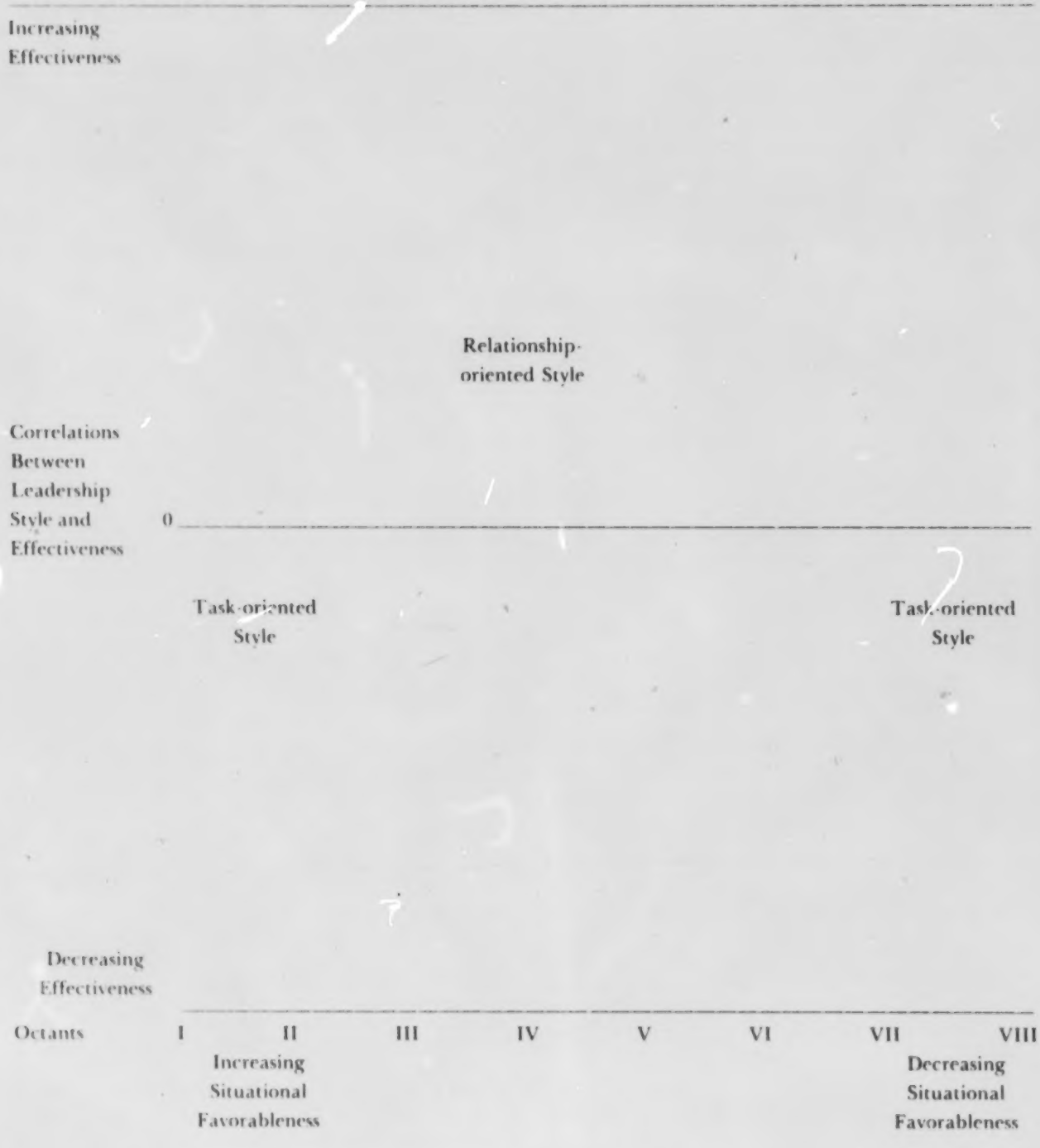
While Fiedler's work has been extensive, several questions remain to be answered. First, more data is needed to further test the idea that high LPC leaders derive satisfaction from interpersonal relationships and low LPC leaders derive satisfaction from task performance. A second basic question concerns the extent to which leader behavior can actually be predicted from a personality test like LPC. As Vroom points out:

> Lewin's classic dictum (1951) that behavior is a function of both person and environment has been supported by a wide variety of studies which show that virtually all complex behaviors are influenced by both sets of variables in interaction with one another. Fiedler's model does not allow for the possibility that a leader's behavior may be influenced by the situation with which he is confronted or even that leaders have different rules for translating situational differences into actions on their part.[32]

Thus, like other models of leadership, the practical implications of the model need to be carefully considered and qualifications recognized. At best Fiedler's model *approaches* the question: What particular style is best suited to a particular situation, relative to group performance?

We turn now to yet another model of leadership different from those presented thus far. It is our belief the model has potentially important implications for improved leader effectiveness and therefore we shall examine it in some detail.

FIGURE 1
LEADERSHIP STYLE, SITUATION, AND EFFECTIVENESS



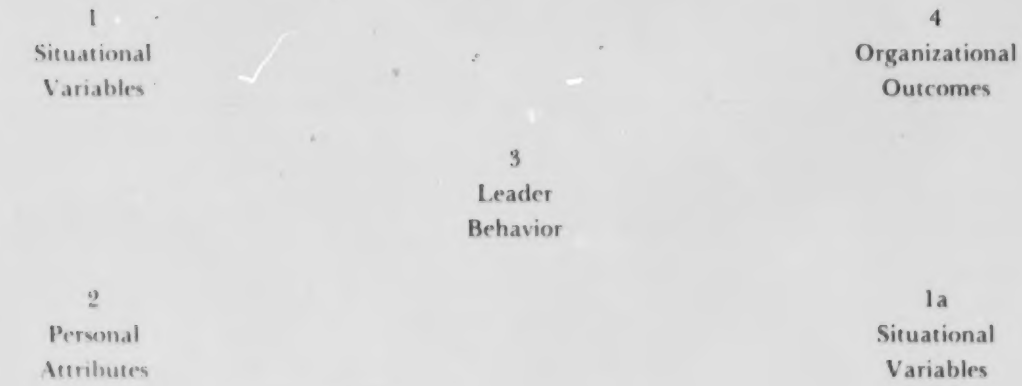
E. Vroom and Yetton's Normative Model[30]

Vroom begins his analysis with a discussion of the basic differences between the various approaches to the study of leadership that we have examined thus far. His vehicle for comparison is a schematic diagram depicted in Figure 2, which shows the major variables used in leadership research. Referring to the diagram, Vroom notes that the conception of leadership as a personality trait assumes that organizational outcomes (#4) are a function of personal attributes of the leader (#2); the search for effective leader behaviors assumes that organizational outcomes (#4) are a function of leader behaviors (#3), and Fiedler's contingency model views organizational outcomes (#4) as a joint function of personal attributes (#2) and situational variables (#1a). In contrast to these models, Vroom deems it appropriate and necessary for descriptive models to treat (view) leader behavior as a joint function of situational variables (#1) and personal attributes (#2) and normative models in which organizational outcomes (#4) are a function of leader behavior (#3) and situational variables (#1a).[31] The essence of this formulation may be found in the following passage which refers again to the diagram:

> If one starts with leader behavior but moves to the right across that figure, one gets into theoretical issues and empirical findings that are potentially normative in character. Leader behavior (#3) becomes the independent (rather than the dependent) variable and organizational outcomes (#4) become the dependent variables. The relevant processes are organizational rather than psychological. One is concerned here with understanding the nature of the actions which are required from the leader in guiding the system toward the achievement of its external objectives.[32]

Recognizing the importance of leadership participation in decision making, the normative model developed by Vroom and Yetton attempts to point to the kinds of situations in which various degrees of leader participation in decision making are appropriate or desirable. A number of assumptions form the basis of the model:

FIGURE 2
SCHEMATIC REPRESENTATION OF VARIABLES USED IN LEADERSHIP RESEARCH



1. The normative model should be constructed in such a way as to be of potential value to managers or leaders in determining which leadership methods they should employ in each of the various situations that they encounter in carrying out their formal leadership roles. Consequently, it should be operational in that the behavior of the leader should be specified unambiguously.
2. No single leadership method is applicable to all situations; the function of a normative model would be to provide a framework for the analysis of situational requirements which can be translated into prescriptions of leadership styles.
3. The most appropriate unit for the analysis of the situation is the particular problem to be solved and the context in which the problem occurs.
4. The leadership method used in response to one situation should not constrain the method or style used in other situations.
5. There are a number of discrete social processes by which organizational problems can be translated into solutions, and these processes vary in terms of the potential amount of participation by subordinates in the problem-solving process. Choice among these processes can be made by the leader for all problems falling within his area of discretion or freedom.
6. The applicable process or leadership methods vary with the number of the leader's subordinates who are affected by the decision. In particular, one should distinguish between individual problems (affecting only one of the subordinates reporting to the leader) and group problems (affecting all or a substantial subset of the leader's subordinates).

The normative model sets out initially a taxonomy of leadership methods (or decision processes) that are deemed appropriate for a group problem situation:

AI: You solve problem or make decision yourself using information available to you at that time.

AII: You obtain necessary information from subordinates, then decide on solution to problem yourself. You may or may not tell subordinates what the problem is in getting the information from them. The role played by your subordinates in making the decision is clearly one of providing the necessary information to you, rather than generating or evaluating alternative solutions.

CI: You share the problem with relevant subordinates individually, getting their ideas and suggestions without bringing them together as a group. Then you make the decision, which may or may not reflect your subordinates' influence.

CII: You share the problem with your subordinates as a group, collectively obtaining their ideas and suggestions. Then you make the decision, which may or may not reflect your subordinates' influence.

GII: You share the problem with your subordinates as a group. Together you generate and evaluate alternatives and attempt to reach agreement (consensus) on a solution. Your role is much like that of chairman. You do not try to influence the group to adopt "your" solution and you are willing to accept and implement any solution which has the support of the entire group.

Next, the model sets out a basis to identify three attributes of the problem or situation which have been empirically determined to bear on the ultimate effectiveness of decisions. The three attributes include:

1. The quality or rationality of the decision.
2. The acceptance or commitment on the part of subordinates to execute the decision effectively.
3. The amount of time required to make the decision.[17]

Based on these three concerns, seven problem or situation attributes were identified and placed in the form of questions. They appear in Table 6 and can be used by a leader in diagnosing a particular problem prior to choosing a decision process (AI, AII, CI, CII or GII, above). It has been found that leaders can diagnose a situation both quickly and accurately by answering the seven questions in Table 6 concerning the situation (problem).

TABLE 6
PROBLEM ATTRIBUTES

QUESTION A
Is there a quality requirement such that one solution is likely to be more rational than another?
QUESTION B
Do I have sufficient information to make a high quality decision?
QUESTION C
Is the problem structured?
QUESTION D
Is acceptance of decision by subordinates critical to effective implementation?
QUESTION E
If you were to make the decision by yourself, is it reasonably certain that it would be accepted by your subordinates?
QUESTION F
Do subordinates share the organization goals to be obtained in solving this problem?
QUESTION G
Is conflict among subordinates likely in preferred solutions?

However, answering the seven questions does not result in a prescription concerning the most effective leadership style or decision process. A prescribed leadership style emerges only after the application of a set of seven rules which eliminate leadership styles from a feasible set under certain specifiable conditions. The rules are designed to protect both the quality and acceptance of the decision, with the first three rules protecting decision quality and the remaining four rules protecting acceptance:

1. THE INFORMATION RULE. If the quality of the decision is important and if the leader does not possess enough information or expertise to solve the problem by himself, AI is eliminated from the feasible set. (Its use risks a low-quality decision.)
2. THE GOAL CONGRUENCE RULE. If the quality of the decision is important and if the subordinates do not share the organizational goals to be obtained in solving the problem, GII is eliminated from the feasible set. (Alternatives that eliminate the leader's final control over the decision reached may jeopardize the quality of the decision.)
3. THE UNSTRUCTURED PROBLEM RULE. In decisions in which the quality of the decision is important, if the leader lacks the necessary information or expertise to solve the problem by himself, and if the problem is unstructured, that is, he does not know exactly what information is needed and where it is located, the method used must provide not only for him to collect the information but to do so in an efficient and effective manner. Methods that involve interaction among all subordinates with full knowledge of the problem are likely to generate a high-quality solution to the problem. Under these conditions, AI, AII, and CI are eliminated from the feasible set. (AI does not provide for him to collect the necessary information, and AII and CI represent more cumbersome, less effective, and less efficient means of bringing the necessary information to bear on the solution of the problem than methods that do permit those with the necessary information to interact.)
4. THE ACCEPTANCE RULE. If the acceptance of the decision by subordinates is critical to effective implementation, and if it is not certain that an autocratic decision made by the leader would receive that acceptance, AI and AII are eliminated from the feasible set. (Neither provides an opportunity for subordinates to participate in the decision and both risk the necessary acceptance.)

5. THE CONFLICT RULE. If the acceptance of the decision is critical, and an autocratic decision is not certain to be accepted, and subordinates are likely to be in conflict or disagreement over the appropriate solution, AI, AII, and CI are eliminated from the feasible set. (The method used in solving the problem should enable those in disagreement to resolve their differences with full knowledge of the problem. Accordingly, under these conditions, AI, AII, and CI, which involve no interaction or only "one-on-one" relationships and, therefore, provide no opportunity for those in conflict to resolve their differences, are eliminated from the feasible set. Their use runs the risk of leaving some of the subordinates with less than the necessary commitment to the final decision.)
6. THE FAIRNESS RULE. If the quality of decision is unimportant and if acceptance is critical and not certain to result from an autocratic decision, AI, AII, CI, and CII are eliminated from the feasible set. (The method used should maximize the probability of acceptance as this is the only relevant consideration in determining the effectiveness of the decision. Under these circumstances, AI, AII, CI, and CII, which create less acceptance or commitment than GII, are eliminated from the feasible set. To use them is to run the risk of getting less than the needed acceptance of the decision.)
7. THE ACCEPTANCE PRIORITY RULE. If acceptance is critical, not assured by an autocratic decision, and if subordinates share the organizational goals relevant to the problem, AI, AII, CI, and CII are eliminated from the feasible set. (Methods that provide equal partnership in the decision-making process can provide greater acceptance without risking decision quality. Use of any method other than GII results in an unnecessary risk that the decision will not be fully accepted or receive the necessary commitment on the part of subordinates.)[39]

To illustrate the application of these rules to a problem, Vroom utilizes a decision tree which is presented in Figure 3.[39] It may be explained as follows:

> The problem attributes are shown at the top of the figure. To apply the rules to a particular problem one starts at the left hand side and works toward the right, asking oneself the question pertaining to any box that is encountered. When a terminal node is reached, the number designates the problem type which in turn designates a set of methods which remains feasible after the rules have been applied. It can be seen that this method of representing the decision tree generates thirteen terminal nodes or problem types. Problem type is a nominal variable designating classes of problems generated by the paths which lead to the terminal nodes. Thus, all problems which have no quality requirements and in which acceptance is not critical are of Type 1; all problems which have no quality requirement, in which acceptance is critical, and the prior probability of acceptance of the leader's decision is low are defined as Type 2; and so on.
>
> The feasible set for each problem type is also shown in Figure 3. It can be seen that there are some problem types for which only one method remains in the feasible set, others for which two methods remain feasible, and still others for which five methods remain feasible. It should be recalled that the feasible set is defined as the set of methods which remains after all those which violate rules designated to protect the quality and acceptance of the decision have been excluded.[40]

Choosing Among Alternatives in the Feasible Set. When more than one method remains in a feasible set after the seven rules have been applied, it is necessary to establish an alternative decision rule to reduce the number of man hours used in solving the problem. Establishing such a rule means that, given a set of methods with equal likelihood of meeting both the quality and acceptance requirements, the man hour rule would select that method which requires the least investment in man hours. The result is the selection of the method furthest to the left (and the most autocratic) within the feasible set. Thus, if AI, AII, CI, CII and GII were feasible, as in the case of a Type I problem, than AI would be the method chosen.[41]

FIGURE 3
DECISION PROCESS FLOW CHART

Adapted from V. Vroom, *op cit.*, p. 1543.

71

As Vroom notes:

> This decision rule (number of man hours) for choosing among alternatives in the feasible set results in the prescription of each of the five decision processes. AI is prescribed for three problem types (1, 3, and 4); AII is prescribed for two problem types (7 and 8); CI is prescribed for only one problem type (6b); CII is prescribed for four problem types (6a, 9, 10, and 12); and GII is prescribed for three problem types (2, 5, and 11). The relative frequency with which the five decision processes would be prescribed for any single leader would, of course, be dependent on the distribution of problem types he encounters in this role.[42]

Thus, the minimum man hours model attempts to protect, if relevant, the quality of the decision, to generate any necessary acceptance of the decision and to minimize the number of man hours in the process.[43] Because it gives no consideration to any long-term considerations, the manpower model may be considered a short-term model.

Lastly, it should be remembered that leadership styles that are deemed optimal for short term results may be different from those determined optimal over a longer span of time:

> The manager who uses more participative methods could, in time, develop his or her subordinates, increasing not only the knowledge and talent that they could bring to bear on decisions but also their identification with organization goals. A promising approach to development of a long-term model is one that places less weight on man-hours as the basis for choice of method within the feasible set. With a long-term orientation, one would be interested in the development of subordinates rather than the conservation of time. If both time and development increase with participation, a model that places no weight on time and exclusive weight on development would choose the most participative process (i.e., the one farthest to the right) within the feasible set.[44]

F. *The Managerial Grid*

We conclude our section on leadership with a discussion of Blake and Mouton's[45] managerial grid. The managerial grid is essentially another conceptualization of leadership styles. Consistent with several other models of leadership discussed above, the managerial grid has two basic dimensions – concern for production and concern for people. Concern for production denotes the successful completion of the organizational task, while concern for people refers primarily to genuine warm interpersonal relations among organizational members.

The managerial grid is depicted in Figure 4 and shows these two dimensions of concern for people and production on the y (vertical) and x (horizontal) axis, respectively. As the Figure indicates, each axis has been measured off on the basis of a nine point scale, with the number one (1) representing minimum concern and the number nine (9) representing maximum concern.

While eighty one (9 x 9) leadership styles could be identified from the grid, Blake and Mouton confine their analysis to the four corners and midpoint of the grid, specifically to the 9, 1 style, the 1, 9 style, the 1, 1 style, the 9, 9 style, and the 5, 5 style. Each of the five styles carries with it a different set of descriptors concerning how an individual manages. Let us now take a closer look at the five fundamental styles on the grid in Figure 4.[46]

The 9, 1 style – task-oriented leadership. The 9, 1 style is a starky task-oriented style: a high concern for production is coupled with a low concern for people. Achievement is the watchword of this approach, and interaction is strictly along authority lines. The leaders assume that people basically are lazy, do not like work, and must be coerced. Further, subordinates are considered less capable of planning and organizing their own work than superiors; hence the authority structure is essential to directing less capable and unwilling subordinates. Quotas and deadlines are commonplace and are used to motivate subordinates. When conflict emerges, it is suppressed by dealing firmly with those involved. Communication is formal, one-way and downward. In brief, the superiors make decisions and subordinates comply. To ensure such compliances, superiors engage in a program of close supervision and tight control, focusing on achievement of the organizational tasks. These managers are hard-hitting and tough-minded; they believe that people are instruments of production and that nice guys finish last. It is produce or perish.

The 1, 9 style – relationship-oriented leadership. The 1, 9 style is characterized by a low concern for production coupled with a high concern for people. Sound interpersonal relations are the hallmark of this approach; the dispositions and feelings of people are of overriding importance. A basic assumption underlying this style is that the needs of production are contrary to the needs of people. The manager solves this problem by subordinating production requirements to the need-dispositions of subordinates. Managers using this style lead by following, that is, by finding out how subordinates want it and then trying to have it happen that way. In terms of structure, the organization is characterized by looseness. Formal requirements are often mocked. Goals are kept global, ambiguous, and general; thus, everyone can support them. Superior-subordinate relationships are characterized by togetherness, with the manager conceiving of his work unit as one big happy family. It is believed that "social affairs," such as picnics, parties, and dinners, contribute to high morale. The purpose of most meetings is not to achieve work goals but rather for sociability. Communications are informal and concentrate on social and personal topics rather than on production-related matters. Conflict must be avoided if possible; hence, appeasement is the rule rather than the exception. When conflict does erupt, it is smoothed over. In brief, a country club atmosphere is produced, and sociable relations among the group members are an end in themselves. The superior is primarily concerned with winning friends and influencing people.

The 1, 1 style – impoverished leadership. The 1, 1 style is characterized by low concern for production and low concern for people. Like the 9, 1 and 1, 9 styles, an incompatibility exists between organizational demands and employee needs; however, because concern is low for both production and people, this style is conspicuous for its lack of leadership activity. The supervisory approach is to put people on jobs and then leave them alone, hiding behind the rules and regulations in order to remain relatively invisible. The style is turned inward, that is, self-interest and self-defense are the basic determiners of action. In brief, the supervisor has minimum influence over subordinates. His supervisory approach is likely to be confined to delivering messages coming down from above. Because the 1, 1 manager is never really noticed, he has a mode of operation that does not rock the boat.

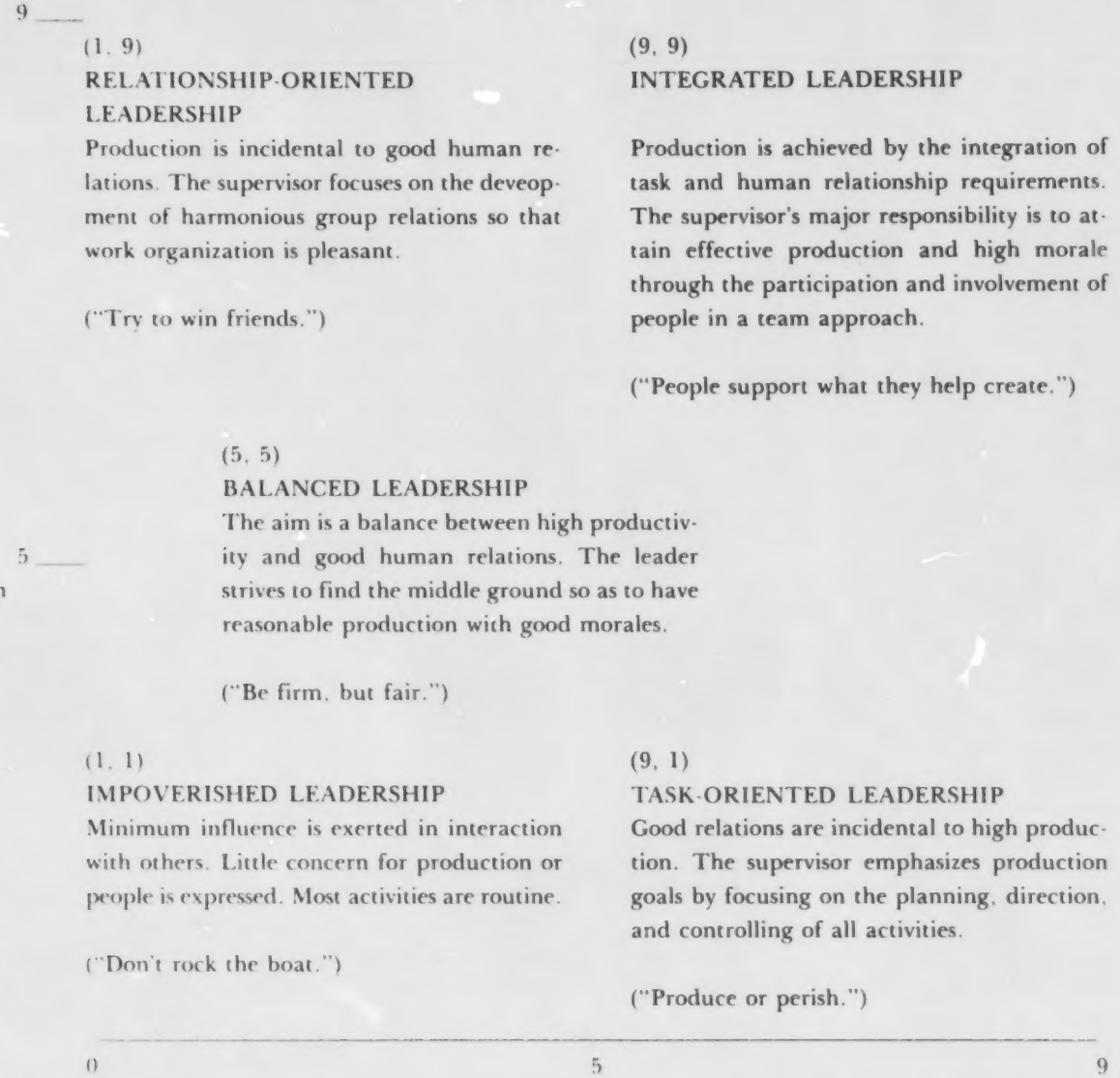
The 9, 9 style – integrated leadership. The 9, 9 style is characterized by a high concern for both production and people. Unlike the other styles, no inherent conflict exists between organizational requirements and the needs of people. This leadership style wants to promote conditions that integrate high productivity and high morale through concerted teamwork. Because it is assumed that, given the opportunities, people are creative, the 9, 9 leadership style focuses on involving those participants who are responsible for planning and executing the work. Communication is marked by its two-way character and openness. Superiors and subordinates level with each other. Conflict, when it emerges, is faced directly by getting the facts and examining the causes so that it can be resolved by those involved. The 9, 9 style aims at developing conditions in which individual goals are consistent with organization goals, thus providing commitment to the work effort. Teamwork, participation, involvement, and group decision making are basic ingredients in the development of such conditions. People tend to support what they have helped to create.

The 5, 5 style – balanced leadership. The 5, 5 style is characterized by a conflict between production needs and people needs; the solution to the conflict is approached through compromise. In other words, equilibrium is achieved in such a way that both organization needs and people needs are accommodated at some reasonable level. The posture is one of balancing and satisfying. Extreme positions are naturally avoided. The 5, 5 style depends heavily on conformity with traditions, precedents, and bureaucratic rules and regulations. This style assumes that people will work diligently and comply with reasonable directives that are explained. Communication flows through both the formal and informal systems, but formal communication is general rather than specific. In sum, there is a balance between emphasizing the relevant aspects of the work and taking people

into consideration. This is a middle-of-the-road approach that attempts to balance the formal and informal systems rather than to integrate them. The 5, 5 style seems sufficient for getting the job done, but it is probably insufficient for promoting innovation and change.

Of the five styles, Blake and Mouton label the integrated leadership style (9, 9) as ideal. However, they also note that their research findings in industrial organizations indicate that the most frequently observed managerial style is 5, 5 followed by 9, 9; 9, 1; 1, 9 and 1, 1 styles. Further, they conclude ". . . that the greater an individual's career accomplishment, the more likely his style of approach is 9, 9 or 9, 1 and the less likely his approach is 5, 5 or 1, 9."[6]

FIGURE 4
THE MANAGERIAL GRID


9
(1, 9)
RELATIONSHIP-ORIENTED LEADERSHIP
Production is incidental to good human relations. The supervisor focuses on the deveopment of harmonious group relations so that work organization is pleasant.
("Try to win friends.")
(9, 9)
INTEGRATED LEADERSHIP
Production is achieved by the integration of task and human relationship requirements. The supervisor's major responsibility is to attain effective production and high morale through the participation and involvement of people in a team approach.
("People support what they help create.")
(5, 5)
BALANCED LEADERSHIP
The aim is a balance between high productivity and good human relations. The leader strives to find the middle ground so as to have reasonable production with good morales.
("Be firm, but fair.")
5
Concern for People
(1, 1)
IMPOVERISHED LEADERSHIP
Minimum influence is exerted in interaction with others. Little concern for production or people is expressed. Most activities are routine.
("Don't rock the boat.")
(9, 1)
TASK-ORIENTED LEADERSHIP
Good relations are incidental to high production. The supervisor emphasizes production goals by focusing on the planning, direction, and controlling of all activities.
("Produce or perish.")
0
5
9
Concern for Production

NOTES

1. Victor H. Vroom, "Leadership," in *Handbook of Industrial and Organizational Psychology*, edited by Marvin D. Dunnette (Chicago, Illinois: Rand McNally College Publishing Company, 1976), p. 1527.
2. Andrew W. Halpin, *Theory and Research in Administration* (New York: Macmillan, 1966), p. 31.
3. No attempt is made here to be exhaustive in our discussion and treatment of leadership and organizational climate. The literature on these topics, particularly leadership, is voluminous to say the least. In selecting material for discussion a number of criteria were employed: (1) apparent usefulness (2) consistency with other studies and (3) complete or partial empirical verification.
4. Robert Dubin, *Human Relations in Administration* (Englewood Cliffs, New Jersey: Prentice Hall, 1961), p. 348.
5. John K. Hemphill, "Administration as Problem Solving," in *Administrative Theory in Education*, edited by Andrew W. Halpin (New York: Macmillan, 1967), p. 98.
6. Amitai Etzioni, *A Comparative Analysis of Complex Organizations* (New York: Free Press, 1961), p. 116.
7. James Lipham, "Leadership and Administration," in *Behavioral Science and Educational Administration*, edited by Daniel Griffiths (Chicago: University of Chicago Press, 1964), p. 122.
8. Ralph M. Stogdill, "Leadership, Membership, and Organization," *Psychological Bulletin*, 47 (1950), p. 4.
9. Fred E. Fiedler, *A Theory of Leadership Effectiveness* (New York: McGraw Hill, 1967), p. 8.
10. Daniel Katz and Robert L. Kahn, *The Social Psychology of Organizations* (New York: Wiley, 1966), p. 301.
11. C. L. Shartle and R. Stogdill, *Studies in Naval Leadership* (Columbus: Ohio State University, 1952), p. 6.
12. For extensive reviews of the many personality studies of leadership see R. M. Stogdill, "Personal Factors Associated with Leadership: A Survey of the Literature," *Journal of Psychology*, 1948, Vol. 25, pp. 35-71; Bernard Bass, *Leadership Psychology and Organizational Behavior* (New York: Harper and Row, 1960); R. Mann, "A Review of the Relationship between Personality and Performance in Small Groups," *Psychological Bulletin*, 1959, Vol. 56, pp. 241-270; and C. A. Gibb, "Leadership," in *Handbook of Social Psychology*, edited by Lindzery and Aronson (Reading, Mass: Addison-Wesley, 1969), pp. 205-282.
13. Mann, *op. cit.*
14. F. H. Sanford, "Research on Military Leadership," in *Psychology in the World Emergency*, edited by J. C. Hanagan (Pittsburgh: University Press, 1952), p. 51.
15. L. Bloom, *op. cit.*, p. 1530.
16. D. Cartwright and A. Zander, *Group Dynamics Research and Theory* (Evanston, Illinois: Row Peterson, 1953), p. 549.
17. D. Bowers and S. Seashore, "Predicting Organizational Effectiveness with a Four Factor Theory of Leadership," *Administrative Science Quarterly*, Vol. 11 (1966), pp. 238-264.
18. W. Hoy and C. Miskel, *Educational Administration: Theory, Research and Practice* (New York: Random House, 1978), p. 179.
19. W. Hoy and C. Miskel, *Ibid.*, p. 180.
20. *Ibid.*
21. J. Hemphill and A. Coons, *Leader Behavior Description* (Columbus: Personal Research Board, Ohio State University, 1950).
22. A. Halpin and B. Winer, *The Leadership Behavior of the Airplane Commander* (Washington, DC: Human Resources Research Laboratories, Department of the Air Force, 1952).
23. A. Halpin, *Theory and Research in Administration* (New York: Macmillan, 1966), pp. 86-9.
24. V. Vroom, *op. cit.*, p. 1531.
25. V. Vroom, *Ibid.*
26. This section draws heavily from the work of V. Vroom, *Ibid.*, pp. 1533-1536.
27. F. Fiedler, *A Theory of Leadership Effectiveness* (New York: McGraw Hill, 1967).
28. F. Fiedler, *Ibid.*, p. 8.
29. *Ibid.*, p. 36.
30. V. Vroom, *op. cit.*, p. 1534.
31. F. Fiedler, *op. cit.*, p. 250.
32. V. Vroom, *op. cit.*, p. 1536.
33. A complete description of Vroom and Yetton's model can be found in V. Vroom and P. Yetton, *Leadership and Decision Making* (Pittsburgh: University of Pittsburgh Press, 1973). Only a brief description is possible here.
34. V. Vroom, *op. cit.*, p. 1538.
35. V. Vroom, *Ibid.*, p. 1537.
36. V. Vroom, *Ibid.*, p. 1539.
37. *Ibid.*, p. 1540.
38. *Ibid.*, p. 1542.
39. *Ibid.*, p. 1543.
40. *Ibid.*, pp. 1542-43.
41. *Ibid.*, p. 1543.
42. *Ibid.*
43. *Ibid.*, p. 1543.
44. *Ibid.*
45. R. Blake and J. Mouton, *The Managerial Grid* (Houston, Texas: Gulf Publishing Company, 1964).
46. Hoy and Miskel, *op. cit.*, provide perhaps the best available descriptive summary of the five major leadership styles. Because of this, their descriptions have been used here, almost as they appear in their text.
47. Blake and Mouton, *op. cit.*, pp. 232-235, 243.

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APPENDIX A: A Guide to the Learning Exercises

The upcoming exercises have been developed to supplement the formal presentations in this module. They are designed purposely to give the participants hands-on experiences relating to the major concepts on leadership discussed in the text. To help the training leader in coordinating the activities with the text, the following guide is presented to outline how each activity relates and where it should be utilized (with respect to the formal text). For full explanations and detailed procedures for implementation, refer to the actual activities in Appendix B of this module.

Exercise I

Activities 1.1-1.4

These activities are designed to help the participants tap their existing knowledge about leadership and to help them analyze leadership as a personality trait. These activities should be implemented in sequence just prior to reading the section "Leadership as a Personality Trait."

Activity 1.5

This activity is designed to help participants compare their findings from the previous activities with the findings from research presented in the text. Note the conclusion presented in the text that examining leadership as a personality trait is an oversimplification of the complexities involved. The results of Activities 1.1 through 1.4 should bear this point out. The summary which occurs in this activity should emphasize this concept.

Exercise II

Activities 2.1-2.2

These activities are designed to allow participants to participate in a task group and then analyze their group's process in terms of key leadership behaviors. These activities should be implemented in sequence just prior to reading the section "Effective Leader Behavior" in the formal text.

Activity 2.3

This activity should work as a summary for participants to share their groups' findings and compare them to the concepts covered in the corresponding section of the text. Emphasis should be placed on two specific dimensions – Initiation of Structure and Consideration. The concluding statements in the text specify the need for directing attention to situational variables when examining leadership effectiveness. This point will be dealt with in our next set of activities.

Activity 2.4

This is an optional activity which may help each participant better analyze his/her own leadership behavior in a group. It can be implemented as a closing activity to this section.

Exercise III

Activity 3.1

This activity is designed to have participants identify some of the gaps which exist in the results of the studies on leadership covered thus far. The intent is to have the participants recognize the need for examining the situational variables which have impact on leadership effectiveness. This activity should be implemented just prior to reading the section entitled "Situational Approaches: Fiedler's Contingency Model" in the formal text.

Activity 3.2

This activity is designed to help participants analyze the impact of specific situations on leadership effectiveness. The information needed to appropriately analyze each situation is covered in detail in the corresponding section of the text.

Exercise IV

Activities 4.1-4.2

These activities are built around two brief case studies and the intent is to give participants an opportunity to apply the process of decision making developed by Vroom and Yetton in their normative model. The section "Vroom and Yetton's Normative Model: A New Look at Leadership" should be read by the participants before these activities are implemented.

Activity 4.3

This activity allows each participant the opportunity to apply the decision making process to problems relevant to his/her professional situation.

Exercise V

Activity 5.1

This activity is a self-assessment instrument designed by Blake and Mouton. The responses given by each participant can be clearly interpreted after reading the section "The Managerial Grid." This activity should be implemented before reading the corresponding section.

Activity 5.2

This activity provides an opportunity for the participants to interpret the responses from the previous activity. The corresponding section in the text should be read before interpreting and discussing the responses. Pay particular attention to the cautions outlined at the end of this activity.

APPENDIX B: The Learning Exercises

Enrichment Exercises

The upcoming exercises have been developed to supplement the formal presentations in this module. They are purposefully designed to give the participants hands-on experiences relating to the major concepts on leadership discussed in the text. The activities are aimed at helping all participants integrate the research data with personal encounters. Over time, this will give the participants a better understanding of their relationship to the empirically tested leadership models.

Exercise I

This is an introductory exercise designed to launch our examination of leadership. The entire exercise contains a series of activities which involve individual and group efforts. The purpose of starting the module with this exercise is to give all participants an opportunity to identify existing attitudes and conceptions about leadership before we begin the review of literature. By structuring part of the exercise as group work, we can later analyze the task groups' performances in terms of the first conception of leadership to be examined (Leadership as a Personality Trait).

Activity 1.1 (Individual responses – 5/10 minutes)

Have all participants answer the following questions in writing:

- What is leadership?
- Are there "born" leaders?
- What personality traits are inherent in leaders? (i.e. – intelligence, self-confidence, sensitivity, dominance, etc.)
- Are you a leader?
- What personality traits do you possess which make you a leader?

Activity 1.2 (Small group, 3-5 participants, 10/15 minutes)

Have each small group work toward accomplishing the following tasks: (a secretary will be needed for each group)

Task 1 – Work as a small group and develop one single definition of leadership. The definition must meet the approval of all group members.

Task 2 – List those personality traits which are inherent in leaders. Rank order the five most important traits. Unanimous approval must be reached.

Activity 1.3 (10/15 minutes)

Keeping the same small groups, have the participants discuss the following questions: (be sure the secretary records key responses)

1. Was your group effective in completing the tasks?
2. Was reaching unanimous approval difficult in either task?
3. Did any difficulties arise in the process? If a difficulty did arise, what was its nature (understanding the task, structuring a solution, communication)?
4. Did anyone try to assume a leadership position?
5. Take a quick poll – who was the perceived leader by the most group members?
6. What personality traits become evident in the perceived leader?
7. Did any of these traits appear on your list from Task 2?
8. Did the leader fulfill the definition developed in Task 2?

Activity 1.4 (Total Group, 10/15 minutes)

1. Have each small group report to the total group their findings from their small group activities.
2. Through discussion, compare and contrast the findings from each group.
   - What is leadership?
   - What traits are inherent in leaders?
   - Were there different types of traits evident in each perceived leader?
   - Did leadership change hands during a task?
   - Did leadership change hands from task to task?

**A Special Note for the Training Leader*

Keep in mind that results are unpredictable. Leadership may switch hands. Perceptions may vary. Traits may vary. Some participants may not believe in "born" leadership traits. Others may subscribe totally. The upcoming passage will shed light on the confusion.

Activity 1.5 (Total group, 10 minutes)

This activity can bring closure to this section. Facilitate a summary discussion – bringing together past experiences, experiences from the previous task group exercises and the new found knowledge from the research review.

1. What does the research seem to conclude concerning leadership as a personality trait?
2. Do some of your personal observations coincide or conflict with the research review?
3. How do the results of your previous activities in this section compare to the research data?

Exercise II

This exercise closely resembles the previous exercise in format. The activities are conducted in small and large groups and will offer all participants an opportunity for active involvement. There will be discussion questions to help participants summarize the key concepts. The emphasis will be on examining effective leadership behavior. These activities are designed to enhance the section in the text on "Effective Leader Behavior."

Activity 2.1

Present the following problem situation (The Winter Survival Exercise) to the group. Pass out copies of the problem and the list of objects to all participants. Separate your large group into smaller groups (3 to 5 people in each). The accompanying problem sheet is self-explanatory. If any questions should arise that are not answered on the sheet, help the groups make a decision so the implication of the decision is consistent for all participants. The task of each small group is to rank order the fifteen objects according to their need for survival. It is important that each member in the group agrees upon the final order of objects. Allow each group of "survivors" roughly twenty minutes for debate. Keep in mind that the survival problem is not the real issue. The real issue is examining the groups' behaviors as they related to leadership theory.

Winter Survival Exercise: The Situation

You have just crash-landed in the woods of Northern Minnesota and Southern Manitoba. It is 11:32 a.m. in mid-January. The light twin engine plane in which you were travelling has completely burned except for the frame. The pilot and co-pilot were killed, but no one else was seriously injured.

The pilot was unable to notify anyone of your position before the crash. All indication, however, is that the plane was at least 75 to 100 miles off the course that was filed in the VFR Plan. The pilot had stated before you crashed that you were approximately 80 miles northwest of a small town which is the nearest known habitation.

The immediate area is thick woods broken by many lakes and rivers. The last weather report indicated that the temperature would reach – 25 in the daytime and – 40 at night. You are dressed in winter clothing appropriate for city wear: suits, street shoes, and overcoats.

Before the plane caught fire your group was able to salvage the 15 items listed below. Your task is to rank these items according to their importance to your survival, starting with "1" the most important and proceeding to "15" the least important.

You may assume that the number of survivors is the same as the number in your group and the group has agreed to stick together.

Survival Items

- a family size Hershey Bar
- 30 ft. of hemp rope
- a cigarette lighter (no fluid)
- gauze from a compress kit
- a knife
- a 45 caliber pistol
- a flashlight (with batteries)
- a bottle of 86 proof whiskey
- a can of lard
- 2 ski poles
- a pair of extra clothes for all
- plastic air maps
- a compass
- steel wool
- a newspaper

All other situational variables that may occur must be handled consistently so they have little effect on the outcome.

Activity 2.2

This activity is designed to help the participants analyze their own group's process. Keep the participants in their groups and allow them time to discuss the following questions. The focus of questions is on leadership behaviors.

1. Was the task completed on time? Did everyone agree on the final solution?
2. Did the group work cohesively in completing the task?
3. Did any difficulties develop?
4. How did leadership develop in the group? Was leadership provided primarily by one person? Was the leadership shared.
5. Did anyone supply structure for how the task could be achieved?
6. Did anyone facilitate the communication process within the group?
7. What key behaviors were performed that enabled the group to fulfill its task?
   - opinion or information giving
   - opinion seeking
   - direction giving
   - summarizing
   - encouraging of participation
   - evaluating of emotional climate
   - tension relieving

Activity 2.3

This activity is designed to compare the behaviors which occurred within the groups to those behaviors proven effective in leadership through research.

Discussion

1. Allow time for each small group to report its conclusions about leadership behaviors.
2. How do the findings from each group compare to the empirical data which supports the two behavioral dimensions of leadership—Initiation of Structure and Consideration?

Winter Survival Exercise Summary Key

The correct ranking of the survivors' items was made on the basis of information provided by Mark Wanig and supplemented from Rutstrum (1973). Wanig was an instructor for three years in survival training in the reconnaissance school in the 101st Division of the U.S. Army and later an instructor on wilderness survival for four years at the Twin City Institute for Talented Youth. He is now conducting wilderness survival programs for Minneapolis teachers.

1. Cigarette lighter (without fluid). The gravest danger facing the group is exposure to the cold. The greatest need is for a source of warmth and the second greatest need is for signaling devices. This makes building a fire the first order of business. Without matches something is needed to produce sparks to start a fire. Even without fluid the cigarette lighter can be used to produce sparks. The fire will not only provide warmth, it will also provide smoke for daytime signaling and firelight for nighttime signaling.
2. Ball of steel wool. To make a fire, a means of catching the sparks made by the cigarette lighter is needed. Steel wool is the best substance with which to catch a spark and support a flame, even if it is a little bit wet.
3. Extra shirt and pants for each survivor. Clothes are probably the most versatile items one can have in a situtation like this. Besides adding warmth to the body they can be used for shelter, signaling, bedding, bandages, string when unraveled, and tinder to make fires. Even maps can be drawn on them. The versatility of clothes and the need for fires, signaling devices, and warmth make this item number three in importance.
4. Family-size Hershey bar (one per person). To gather wood for the fire and to set up signals, energy is needed. The Hershey bars would supply the energy to sustain the survivors for quite some time. Because they contain basically carbohydrates, they would supply energy without making digestive demands upon the body.
5. Can of shortening. This item has many uses—the most important being that a mirrorlike signaling device can be made from the lid. After shining the lid with the steel wool, the survivors can use it to produce an effective reflector of sunlight. A mirror is the most powerful tool they have for communicating their presence. In sunlight, a simple mirror can generate 5 to 7 million candlepower. The reflected sunbeam can be seen beyond the horizon. Its effectiveness is somewhat limited by the trees but one member of the group could climb a tree and use the mirror to signal search planes. If the survivors have no other means of signaling, they would still have better than 80 percent chance of being rescued within the first twenty-four hours.

   Other uses for the item are as follows: the shortening can be rubbed on the body to protect exposed areas, such as the face, lips, and hands from the cold. In desperation it could be eaten in small amounts. When melted into an oil the shortening is helpful in starting fires. Melted shortening, when soaked into a piece of cloth, will produce an effective candlewick. The can is useful in melting snow to produce drinking water. Even in the wintertime water is important as the body loses water in many ways such as through perspiration, respiration, shock reactions and so on. This water must be replenished because dehydration affects the ability to make clear decisions. The can is also useful as a cup.
6. Flashlight. Inasmuch as the group has little hope of survival if it decides to walk out, its major hope is to catch the attention of search planes. During the day the lid-mirror, smoke, and flags made from clothing represent the best devices. During the night the flashlight is the best signaling device. It is the only effective night-signaling device besides the fire. In the cold, however, a flashlight loses the power in its battery very quickly. It must therefore, be kept warm if it is to work, which means that it must be kept close to someone's body. The value of the flashlight lies in the fact that if the fire burns iow or inadvertently goes out, the flashlight could be immediately turned on the moment a plane is heard.

7. Piece of rope. The rope is another versatile piece of equipment. It could be used to pull dead limbs off trees for firewood. When cut into pieces, the rope will help in constructing shelters. It can be burned. When frayed it can be used as tinder to start fires. When unraveled it will make good insulation from the cold if it is stuffed inside clothing.
8. Newspaper (one per person). The newspaper could be used for starting a fire much the same as the rope. It will also serve as an insulator; when rolled up and placed under the clothes around a person's legs or arms, it provides dead-air space for extra protection from the cold. The paper can be used for recreation by reading it, memorizing it, folding it, or tearing it. It could be rolled into a cone and yelled through as a signal device. It could also be spread around an area to help signal a rescue party.
9. .45-caliber pistol. This pistol provides a sound signalling device. (The international distress signal is three shots fired in rapid succession.) There have been numerous cases of survivors going undetected because by the time the rescue party arrived in the area the survivors were too weak to make a loud enough noise to attract attention. The butt of the pistol could be used as a hammer. The powder from the shells will assist in fire building. By placing a small bit of cloth in a cartridge, emptied of its bullet, a fire can be started by firing the gun at dry wood on the ground. At night the muzzle blast of the gun is visible, which also makes it useful as a signaling device.

   The pistol's advantages are counterbalanced by its dangerous disadvantages. Anger, frustration, impatience, irritability, and lapses of rationality may increase as the group waits to be rescued. The availability of a lethal weapon is a real danger to the group under these conditions. Although it could be used for hunting, it would take a highly skilled marksman to kill an animal and then the animal would have to be transported through the snow to the crash area, probably taking more energy than would be advisable.
10. Knife. A knife is a versatile tool, but it is not too important in the winter setting. It could be used for cutting the rope into desired lengths, making shavings from pieces of wood for tinder and many other uses could be thought up.
11. Compress kit (with gauze). The best use of this item is to wrap the gauze around exposed areas of the body for insulation. Feet and hands are probably the most vulnerable to frostbite, and the gauze can be used to keep them warm. The gauze can be used as a candlewick when dipped into melted shortening. It would also make effective tinder. The small supply of the gauze is the reason this item is ranked so low.
12. Ski poles. Although they are not very important the poles are useful as a flag pole or staff for signaling. They can be used to stablize a person walking through the snow to collect wood, and to test the thickness of the ice on a lakeshore or stream. Probably their most useful function would be as supports for a shelter or by the fire as a heat reflector.
13. Quart of 86-proof whiskey. The only useful function of the whiskey is to aid in fire building or as a fuel. A torch could be made from a piece of clothing soaked in the whiskey and attached to an upright ski pole. The danger of the whiskey is that someone might try to drink it when it is cold. Whiskey takes on the temperature it is exposed to, and a drink of it minus thirty degrees would freeze a person's esophagus and stomach and do considerable damage to the mouth. Drinking it warm will cause dehydration. The bottle, kept warm, would be useful for storing drinking water.
14. Sectional air map of plastic. This item is dangerous because it will encourage individuals to attempt to walk to the nearest town — thereby condemning them to almost certain death.
15. Compass. Because the compass may also encourage some survivors to try to walk to the nearest town, it too is a dangerous item. The only redeeming feature of the compass is the possible use of its glass top as a reflector of sunlight to signal search planes but it is the least effective of the potential signaling devices available. That it might tempt survivors to walk away from the crash site makes it the least desirable of the fifteen items.

Activity taken from *Joining Together: Group Theory and Group Skills* by David W. Johnson and Frank P. Johnson.

Activity 2.4

This is an optional activity which can act as a follow-up to the previous activities in this section. Listed below are twelve statements relating to leadership behavior. Have participants decide for themselves whether they engage in such behaviors regularly or seldomly when functioning in group interactions:

1. I offer information and opinions to help the group effort.
2. I gather information and opinions from other people in the group.
3. I offer structure to the group's efforts.
4. I am primarily concerned with achieving the task at hand.
5. I effectively summarize the major points which are made.
6. I make an attempt to energize the efforts of other participants.
7. I recognize careful listening as an essential part of communication.
8. I analyze the communication patterns of the group to help create the most effective lines of communication.
9. I check with other participants about their feelings and reactions.
10. I practice good communication skills and model these behaviors for others.
11. I take the time to relieve tension with occasional humor.
12. I encourage others to participate.

The first six items are oriented toward imitating the structure and achieving the prescribed task of the group. The last six items are oriented toward showing consideration and maintaining productive group communication. Allow participants to examine their own behaviors and analyze their engagement in each leadership dimension.

**A Word of Caution*

The activities designed for sections I and II are limited to examining leadership traits and behaviors within group interaction. The functions of leadership are unquestionably broader in day to day routine. One should not ignore these other aspects or variables of leadership effectiveness. Rather, the intent is to meaningfully bring to life the major concepts brought out in the formal text. Utilizing task group activities becomes a practical but realistic tool to facilitate the transfer of these concepts into relevant experiences. One last point of justification seems in order. The ability to engage in effective interpersonal communication and the ability to facilitate group problem solving situations are both key functions in the role of a complex leadership position. As much as these task group situations are practical teaching strategies, it is also crucial to emphasize the importance of group facilitation skills for the effectiveness of any leader.

Exercise III

The following activities are designed to have the participants summarize the major concepts previously covered in this module and relate them to the upcoming concepts from the text in this section. As pointed out, examining effective leadership as a personality trait or as a system of behaviors is somewhat limiting. Attempts to determine the relationship of such traits or behaviors to leadership effectiveness often result in varied conclusions. The problem is obviously more complex. This section reviews some of the research done on the effect of situation variables on effective leadership. As a result of the activities, the participants will be better able to analyze situational demands which may alter the impact of leadership.

Activity 3.1 (Group discussion or individual work sheet)

At this point some confusion may have developed over the various theories on leadership effectiveness. First, we examined leadership as a personality trait; then we examined it as a system of behaviors. Now we are about to introduce the importance of situation variables in analyzing leadership. Perhaps it would be valuable to ask a few questions that will help each participant sort out his/her own reactions to the material already covered.

1. Reflecting back on the information covered, what constitutes a leader's style? Make references to specific traits or behaviors.
2. Is there one style that would be universally successful in every situation?
3. What is the relationship of leadership effectiveness to individual situations?
4. Reflecting on personal experiences, are there situations in which you function effectively as a leader? What is the nature of the situation? What are the demands? What traits or behaviors do you possess that make you effective?
5. Do situations come to mind in which you would not function effectively as a leader? What is the nature of your style that would make you feel confident about success in one situation but not in another?

Activity 3.2 (Small group or individual)

This activity is to help each participant analyze the dependence of leadership effectiveness on situational variables. Listed below are a series of groups or situations and their related leadership positions.

Group	*Leadership Position*
1. assembly line workers in an automobile plant	1. job foreman
2. hospital volunteer group	2. hospital administrator
3. Army drill team	3. drill instructor
4. high school English class	4. English teacher
5. college football team	5. head coach
6. neighborhood counseling organization	6. head counselor/program director
7. public school curriculum development committee	7. department chairperson
8. school/community steering committee	8. school administrator

1. Analyze the nature of each group in terms of:
   - degree of structure involved in the task
   - amount of power given to the leader
   - quality of interpersonal relationships between the leader and members
2. Based on previous knowledge, what types of traits and behavior within a leader would be conducive for the most effective leadership for each given situation?

**Keep in Mind*

There are no absolute right or wrong answers. The key is to begin to illustrate differences in situations so effective types of leadership can be predicted.

Activity 4.1

This activity has been designed to give the participants an active opportunity to apply Vroom's Model of Participation in Decision Making to a realistic case situation. All participants will be able to analyze the variables of the situation, sort out the key decisions, and establish a feasible set of solutions.

The Case You have just been appointed the department chairman for a large social studies department in a suburban high school. You have worked in the district for years and everyone is pleased about your appointment. You have always had a good relationship with your administration and staff. Your fellow teachers have always respected you and your contributions as an educator.

Your social studies faculty consists of a dozen teachers. There are several seasoned veterans and a handful of new, energetic teachers.

An interesting but mildly complicated issue has just cropped up. The building principal informed you that there was still money available for a summer curriculum-writing project. The opportunity is there for you and a handful of teachers from your department to put together a proposal. The funding would be there to pay the same team of teachers to work together this summer to develop the proposal ideas. The only problem is that the principal needs the proposal in to the district curriculum director in ten days or the money will go toward a different concern. This means that a committee must be put together quickly. It must be a small group that will be able to see the total project through – start to finish. It must also be a group that can work rapidly and effectively together in order to finish the proposal in ten days.

As the leader of this project, you must make or initiate three primary decisions:

1. Who will be on the committee?
2. What will be an effective time schedule for group meetings?
3. What will be the general aims of the project?

The first task of the participants is to figure out how these decisions will be made. Use the information and process from Vroom's model to decide how each decision should be made. Keep in mind that the real concern is not what decisions are made but *how* the decisions will be made.

Steps to take:

1. • start with your first decision
   • analyze the attributes of the problem (questions A-G in the text)
   • follow the flow chart to its logical end
   • consult the basic rules established by Vroom
   • pick a feasible set
   • consult the taxonomy
   • narrow the choice down to one method (based on variables of time allotment and development of personnel)
   • move on to next decision
2. Compare the methods of decision making used in each problem.
3. Are all solutions derived in the same manner?
4. What does this tell us about consistent leadership style?
5. What does this tell us about situational leadership effectiveness?
6. Respond to this statement:

> The most appropriate unit for the analysis of the situation is the particular problem to be solved and the context in which the problem occurs.
>
> – Victor H. Vroom –

**A Special Note to the Training Leader:*

A key point to help bring out is that matching a particular leadership style to a particular job situation is not the guarantee for effectiveness we are looking for. Each role holds many problem situations which require an appropriate approach or behavior.

> One critical skill required of all leaders is the ability to adapt their behavior to the demands of the situation and that a component of this skill involves selecting the appropriate decision-making process for each problem or decision he or she confronts.
>
> – Victor H. Vroom –

Activity 4.2

Below is another case which can be used by the participants in the decision-making process.

The Case: You are a teacher working in an urban junior high school. You have been talking to one of the counselors and you both decided it would be fun to take a group of students on an overnight camping trip. The counselor knew of a local agency that would lend him a small bus for such an occasion. With the opportunity of borrowing

the vehicle, it is possible for you and the counselor to take fifteen students plus all the necessary provisions. This would be an exciting and enriching activity for some of your students. Of course, with any endeavor of this nature, many details must be worked out before the trip becomes a reality. Listed below are a series of decisions you must make before the camping trip occurs:

1. Which students will go on the trip?
2. What supplies will be needed for an overnight camping trip?
3. What food will be needed?
4. Who will do shopping?
5. What times will you depart and return?
6. What are the behavioral expectations of the students while on the trip?
7. Where will you and the group go?
8. What activities will you and the group want to engage in?

Using the procedures mapped out in Activity 4.1, solve *how* each decision will be made. Keep in mind that there is plenty of time to plan and organize the trip.

Discussion Questions

1. How was each decision made? Can you justify your solutions according to the theory in the text?
2. Was there more than one way to make these decisions?
3. What does this exercise tell you about situational leadership?

Activity 4.3

The past two exercises were designed to help the participants become familiar with the decision-making model described in the text. It is important to stress the point that different types of leadership behaviors may be called for in each decision. Subscribing to one type of style or one set of behaviors in each occupational situation is limiting to leadership effectiveness.

As a summary to this section, allow each participant to derive a set of his/her own problems which require decisions to be made. Assist the participants in running through the steps in the model to establish how their own problems can be handled. Have the participant refer back to Activity 4.1 for a guide to the steps which should be taken in the process.

Exercise V

The topic of emphasis in this section is the managerial grid. The nature of the grid and its implications will be discussed in the formal text within this section. To aid the participants in analyzing the relationship of the text to their own personal managerial orientation, the authors of the book, *The Managerial Grid* (Blake and Mouton), have suggested that a preliminary self-assessment be made.

Activity 5.1

Managerial Styles

Have the participants complete the following self-assessment instrument. This instrument is taken from *The Managerial Grid*. Conclusions about the results will be summarized at the end of this section.

Activity 5.2

A summary is provided below to aid the participants in analyzing their responses. Share the summary. They are grounds for good discussion.

Identifying the Styles

Paragraph a is the 1, 1 paragraph
b is the 1, 9 paragraph
c – 5, 5
d – 9, 1
e – 9, 9

The first phrase under "Decisions"
(a1) describes the 1, 1 attitude
(b1) describes the 1, 9
(c1) – 5, 5
(d1) – 9, 1
(e1) – 9, 9

Ranking the Paragraphs

The participants can now refer back to the survey to interpret their selections. The paragraph which was rated as 1 describes the participant's dominant style. The paragraph rated as 2 indicates a back-up style (and so on).

This information gives each participant one basis to evaluate his/her thoughts concerning management before reading the formal text. It also provides a chance for each participant to evaluate the need for personal change in managerial behavior.

Statistical Trends

- The most common sequence:
  5, 5; 9, 9; 9, 1; 1,1
- The most promotable sequence (as judged by supervisors)
  9, 9; 5, 5 or 9, 1 as a backup; 1, 9; 1, 1
- A less successful (slow promotion) sequence:
  5, 5; 9, 9 as backup; 5, 5; 1, 9; 1, 1
- Best managers (in terms of upward mobility):
  9, 9; 9, 1 as backup; 5, 5; 1, 9; 1, 1
- Evidence does not support the notice that the most successful style is 9, 1 (although it is the strongest backup).
- Those selecting 1, 9 or 1, 1 as their style vary considerably from the average manager and vary even more from those who are the best.

Words of Caution

In interpreting answers, three points of caution should be mentioned:

1. The participants are comparing themselves with statistical trends only. In such comparisons, margins of error are always possible.
2. Participants may have misjudged themselves.
3. Others may perceive a participant's style differently.

A Special Note to the Training Leader

This section gives a brief summary of the information needed to interpret the self-assessment instrument. For a full explanation it is suggested that the training leader refer to chapters 10 and 11 in *The Managerial Grid*.

QUESTIONNAIRE
SELF ASSESSMENT OF KEY MANAGERIAL ORIENTATIONS

Managerial Styles

Rate the paragraphs from MOST to LEAST typical, as a description of yourself: 1 is most typical, 2 is next most typical, and so on to 5, which is least typical of you. When you have finished ranking, there should be only one of each number from 1 to 5. There can be no ties.

_____a. I accept decisions of others. I go along with opinions, attitudes, and ideas of others or avoid taking sides. When conflict arises, I try to remain neutral or stay out of it. By remaining neutral, I rarely get stirred up. My humor is seen by others as rather pointless. I put out enough effort to get by.

_____b. I place high value on maintaining good relations. I prefer to accept opinions, attitudes, and ideas of others rather than to push my own. I try to avoid generating conflict, but when it does appear, I try to soothe feelings and to keep people together. Because of the disturbance tensions can produce, I react in a warm and friendly way. My humor aims at maintaining friendly relations or when strains do arise, it shifts attention away from the serious side. I rarely lead but extend help.

_____c. I search for workable, even though not perfect, decisions. When ideas, opinions, or attitudes different from my own appear, I initiate middle ground positions. When conflict arises, I try to be fair but firm and to get an equitable solution. Under tension, I feel unsure which way to turn or shift to avoid further pressure. My humor sells myself or a position. I seek to maintain a good steady pace.

_____d. I place high value on making decisions that stick. I stand up for my ideas, opinions, and attitudes, even though it sometimes results in stepping on toes. When conflict arises, I try to cut it off or to win my position. When things are not going right, I defend, resist or come back with counter arguments. My humor is hard hitting. I drive myself and others.

_____e. I place high value on getting sound creative decisions that result in understanding and agreements. I listen for and seek out ideas, opinions, and attitudes different from my own. I have clear convictions but respond to sound ideas by changing my mind. When conflict arises, I try to identify reasons for it and to resolve underlying causes. When aroused, I contain myself, though my impatience is visible. My humor fits the situation and gives perspective; I retain a sense of humor even under pressure. I exert vigorous effort and others join in.

Elements

Consider all of the "1" statements (i.e., a1, b1, c1, d1, e1) and select from them the one which best describes you. Do the same for all "2" elements (a2, b2, c2, d2, e2) CIRCLING the one which typifies you. Follow the same procedure for the "3," "4," "5," and "6" elements.

Element 1: Decisions

a1. I accept decisions of others

b1. I place high value on maintaining good relations

c1. I search for workable, even though not perfect, decisions

d1. I place high value on making decisions that stick

e1. I place high value on getting sound creative decisions that result in understanding and agreement

Element 2: Convictions

a2. I go along with opinions, attitudes, and ideas of others or avoid taking sides

b2. I prefer to accept opinions, attitudes, and ideas of others rather than to push my own

c2. When ideas, opinions, or attitudes different from my own appear, I initiate middle ground positions

d2. I stand up for my ideas, opinions, and attitudes, even though it sometimes results in stepping on toes

e2. I listen for and seek out ideas, opinions, and attitudes different from my own. I have clear convictions but respond to sound ideas by changing my mind

Element 3: Conflict

a3. When conflict arises, I try to remain neutral or stay out of it

b3. I try to avoid generating conflict, but when it does appear, I try to soothe feelings and to keep people together

c3. When conflict arises, I try to be fair but firm and to get an equitable solution

d3. When conflict arises, I try to cut it off or to win my position

e3. When conflict arises, I try to identify reasons for it and to resolve underlying causes

Element 4: Emotions (Temper)

a4. By remaining neutral, I rarely get stirred up

b4. Because of the disturbance tensions can produce, I react in a warm and friendly way

c4. Under tension, I feel unsure which way to turn or shift to avoid futher pressure

d4. When things are not going right, I defend, resist or come back with counter arguments

e4. When aroused, I contain myself, though my impatience is visible

Element 5: Humor

a5. My humor is seen by others as rather pointless

b5. My humor aims at maintaining friendly relations or when strains do arise, it shifts attention away from the serious side

c5. My humor sells myself or a position

d5. My humor is hard hitting

e5. My humor fits the situation and gives perspective; I retain a sense of humor even under pressure

Element 6: Effort

a6. I put out enough effort to get by

b6. I rarely lead out but extend help

c6. I seek to maintain a good steady pace

d6. I drive myself and others

e6. I exert vigorous effort and others join in

SECTION III
DECISION MAKING MODULE

DECISION MAKING MODULE

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TABLE OF CONTENTS

		Page
I.	Introduction	1
II.	Organizational Constraints Affecting Decision-Making	1
	A. *Goals and Policies of the Organization*	2
	B. *Types of Organizations*	3
	C. *Organizational Levels*	4
	D. *Time Limits*	5
	E. *Culture in which Organization Operates*	5
	F. *Learning Experiences*	10
III.	Decision-Making	11
	A. *The Administrative Process and Decision-Making*	11
	B. *The Decision-Making Process*	13
	C. *Types of Decisions*	16
	1. Intermediary, Appellate, Creative	16
	2. Technical, Human, Conceptual	17
	3. Rational, Irrational	17
	4. Programmed, Non-programmed	17
	5. Unique, Generic	18
	6. Routine, Heuristic, Compromise	18
	7. Planning, Structuring, Recycling, and Implementing Decisions	19
	D. *Rational Decisions/Economic Man*	21
	E. *Normative Model*	23
	F. *Problem Identification Models*	28
	1. Reactive	28
	2. Pro-Active	29
	G. *Decision-Making Model*	29
	H. *Decision Behavior Analysis*	32
	I. *Decision Role Analysis*	37
	J. *Decision Involvement Analysis*	37
Bibliography		43
Exercises for Decision-Making		45

I. Introduction

Decision-making is a process wherein an awareness of a problematic state of a system, influenced by information and values, is reduced to competing alternatives, among which a choice is made based on perceived outcome states of the system (Lipham and Hoeh, 1974). It is seen as a problem solving activity that comes into play when the individual realizes that the gap between what is and what should be is too great. It involves recognizing that a problem exists, searching for alternative solutions, and selecting and implementing a solution (Gannon, 1977).

One of the administrator's major activities is decision-making. Griffiths (1958) has hypothesized in his theory-building study that developing and regulating the decision-making process in the most effective manner possible constitutes the function which is specific to administration. Simon (1960) indicated that the essence of management is decision-making. The success of everything else that occurs in an organization depends on the manager's ability to make intelligent and productive decisions (Gannon, 1977).

II. Organizational Constraints Affecting Decision-Making

Within an ideal organization, a manager would be free to make and carry out whatever decision seemed most appropriate to him or her for any situation. But managers cannot make decisions in such a vacuum. Their decision-making authority is limited by their planning and control systems, the design of the organization, and the behavioral processes within the organization. These limitations suggest that managers work within the area of bounded discretion. That is, freedom of managers to make ideal decisions is limited by *social norms, rules,* and *policies* within the organization, and by *legal* restrictions and *moral* and *ethical norms*.

Probably the greatest limits on a manager's discretion in decision-making are created by the nature and needs of the organization in which she or he is working. Typically, an individual manager has little, if any, control over these factors. Several organizational constraints in particular worth examining include: the goals and policies of the organization, the type of organization, the level at which a given decision is made, the time limits on decision-making, the culture in which the organization operates, and the organization's learning experiences (Gannon, 1977).

A. Goals and Policies of the Organization

An organization normally establishes several goals it wishes to attain. The organization then develops policies or general guides to action that are designed to help accomplish these goals. It further develops rules and procedures to carry out the policies. These three related factors – *goals, policies,* and *rules* – impose organizational constraints on the kinds of decisions managers make.

For example, the informal decision-making atmosphere of an organization is replaced by a formal and impersonal apparatus. When a branch manager wants to develop a new program or service, he or she now has to seek approval of more superiors than formerly. Because of this increase in formality, decisions may be delayed for months, either at the regional or at the headquarters level. In some instances, branch managers may delay the start of new programs and services, primarily because they do not want to go through the prolonged procedure of gaining approval of their superiors.

B. Types of Organizations

The nature of the organization strongly influences the kinds of decisions managers make. Etzioni (1961) has proposed that most organizations fall into three general types based on two factors: the kinds of power the organization uses to influence subordinates, and the kinds of involvement the organization seeks to generate among its subordinates. The involvement of individuals in the life of the organization is relevant, for they generate and complete the activities that sustain it.

The three types of power used by organizations to influence subordinates are *coercive power, utilitarian power,* and *normative power.* Coercive power is characterized by forcing members to follow specific courses of action. Examples of organizations that use coercive power include prisons, concentration camps, and custodial mental hospitals. Utilitarian power involves reward for performance. The member of an organization that operates from utilitarian power is not rewarded if he or she does not perform what is expected. Examples of such organizations are business firms and industry. Normative power organizations are made up of members who obey mainly because they want to be a part of the organization. Organizations of this type include religious orders, colleges and universities, and voluntary organizations.

The three types of involvement that organizations seek to generate are *alienative involvement, calculative involvement,* and *moral involvement.* When there is alienative involvement, members react with hostility. Members of an organization operating under calculative involvement will leave the organization if they believe that they are not benefitting from it. Moral involvement is characterized by the feeling of members of the organization that they have a moral obligation to obey the organization's dictates, since they have joined voluntarily.

The three types of power and the three types of involvement yield nine possible combinations. However, power and involvement are related in most organizations; therefore only three combinations are predominant:

Coercive power, which results in alienative involvement. Utilitarian power, which results in calculative involvement. Normative power, which results in moral involvement.

C. Organizational Levels

The level at which a decision is made imposes another constraint on the manager's decision-making role. The level at which he or she is operating within the organization affects the manager's decision-making scope. According to Talcott Parsons (1960), all organizations have three levels. The technical level is where the actual production of the organization takes place. A large proportion of decisions made at this level tend to programmed decisions involving a low degree of uncertainty. At the *managerial level,* managers coordinate the organization's efforts so that the production process operates efficiently. These managers also work with the top managers to accomplish the overall objectives of the organization. Decisions made at this level may be programmed or non-programmed. They may involve varying degrees of uncertainty. The *institutional level* consists of top managers who monitor changes in the external environment and define the overall goals the organization is to pursue. At the institutional level, a large proportion of non-programmed decisions will be made, decisions which involve a high degree of uncertainty.

D. Time Limits

Generally, managers in an organization work at an unrelenting pace. Their activities are extremely brief, varied, and discontinuous. There is, however, at least one major exception to this generalization—managers at different levels in any organization seem to spend different amounts of time on any particular decision.

Typically, the higher their level in the organization, the more time managers spend on problems that require decisions. Fifty percent of the problems confronting top managers require at least one year before a final decision can be made. These findings confirm the importance of organizational level in the decision-making process.

Figure 1

*Etzioni's Types of Organizations**

Types of Involvement from Members	*Types of Power Used to Influence Members*		
	Coercive	Utilitarian	Normative
Alienative	*		
Calculative		*	
Moral			*

*A predominant type.

*From Amitai Etzioni, *A Comparative Analysis of Complex Organizations* (New York: The Free Press, 1961).

Figure 2

*Environmental Uncertainty, Organizational Level and Types of Decisions**

High degree of uncertainty

Large proportion of non-programmed decisions

Institutional Level (top management)

Managerial Level

Technical Level

Low degree of uncertainty

Large proportion of programmed decisions

*From Martin J. Gannon, *Management: An Organizational Perspective* (Boston: Little, Brown and Company, 1977), page 311.

Figure 3

THE GETZELS MODEL*

Environment

	Culture	Ethos	Values	
	Institution	Role	Expectations	
Social System				Social Behavior
	Individual	Personality	Need-Dispositions	
	Organism	Constitution	Potentialities	
	Culture	Ethos	Values	

Environment

General model of the major dimensions of behavior in a social system.

*From Jacob W. Getzels et al., *Educational Administration as a Social Process: Theory, Research and Practice*. New York: Harper and Row Publishers, 1968, p. 105.

E. Culture in which Organization Operates

The culture and values within the environment determine the normative behavior and the individual participants' behavior within the organization. The quality and/or quantity of the resultant production functions are uniquely defined by the ability of the managers to integrate these organizational variables. Getzels' model (1968) specifically illustrates ideal organizational behavior as an outcome of the system's normative responses to its environment and its individualized, systematic responses to the needs expectations of the individuals. Resulting organizational operations procedures are, therefore, tested experiences of successful product formation, based on ideal behavior congruences.

The culture and values within the environment influence the types of organizations that arise and the kinds of involvement they seek to achieve their goals. Both the organization and the individuals within it are affected by the culture and influenced by the values. Cultural values may be reflected by individualism, groups solidarity, or some combination of these within the organization. Here are some examples.

Individualism. A dominant value among Frenchmen is individualism. Even at work, the individual wants to operate in an independent manner. Individuality is such a strong cultural value that French organizations tend to be highly formal, for this approach shields the individual. This excessive emphasis on formality creates a vicious circle. Typically, it is very difficult to initiate any organizational change. In fact, organizational change usually occurs as a response to a crisis, and it is mandated by top management.

Group Solidarity. The Russian culture is characterized by a great amount of friendliness and warmth. The government, however, is highly autocratic. Hence members of each work group are warm and friendly toward one another, but suspicious of outsiders, who may be operating as spies.

Individualized norm acceptance. In the United States, organizations and individuals tend to emphasize specialization according to function. The individual's production is, however, a dominant value in America. Hence, the American system is somewhat impersonal, but reflective of the cultural belief that the rights of individual workers must be protected.

Intra-level collaboration. Japanese managers appear to possess a style of leadership different from that of Americans. In Japan, group decision-making is much more important than decision by one manager. First, lower echelon managers as a group analyze a problem and generate alternative solutions to it. After eliminating all but one or two of the alternatives, they present their analysis to the upper-echelon managers who hold the proper authority to make a decision. The final decision thus is based on the information supplied to the top managers by the lower-echelon managers.

F. Learning Experiences

Just as individuals learn to respond to situations from previous experience, so do organizations. That is, managers in an organization learn to respond to a new situation or problem on the basis of what has been effective in their previous experiences. Learning can have negative as well as positive effects. Organizational learning can prove to be detrimental since conditions can be different.

The individual's perspective. Although group decision-making seems to be gaining popularity in the United States, individuals still make many or most decisions independently. The typical manager makes several decisions of various types during an average day. Moreover, it is the manager who exercises considerable responsibility and makes successful decisions who is commonly rewarded and promoted.

Managers' biases. The decisions managers make are heavily influenced by their mental images of the world. A manager, like anyone else, develops certain stereotypes with which he or she categorizes individuals and activities. These stereotypes influence the kinds of decisions he or she will eventually make. Some of the most common stereotypes involve people's race, sex, hair styles, dress, and educational backgrounds. In addition,

their own professional training and departmental identification appear to influence managers in decision-making. Although such biases are bound to exist, it is important to be aware that they can have strong influence on decision-making.

Personality. Some individuals do not like to face a problem whose solution is very uncertain; others enjoy such a situation immensely. An individual's basic personality is the most important factor that influences his or her reaction to an uncertain situation. Consequently, personality is a key determinant of decision-making styles among managers. Even the individual's willingness and desire to change jobs is partially determined by his or her personality. High risk takers are more likely to accept the uncertainties of job changes than low risk takers.

Intelligence. Intelligence appears to be another factor that influences an individual's decision-making style. Generally, more intelligent individuals make better decisions.

III. Decision-Making

A. The Administrative Process and Decision-Making

The following summary of views of the administrative process illustrates how decision-making was incorporated as part of the administrative process.

The Administrative Process*

Fayol, 1916
- Planning
- Organizing
- Commanding
- Coordinating
- Controlling

Gulick and Urwick, 1937
- Planning
- Organizing
- Staffing
- Directing
- Coordinating
- Reporting
- Budgeting

Litchfield, 1956
- Decision-making
- Programming
- Communicating
- Controlling
- Reappraising

Sears, 1950
- Planning
- Organizing
- Directing
- Coordinating
- Controlling

American Association of School Administrators, 1955

- Planning
- Allocation
- Stimulation
- Coordination
- Evaluation

Litchfield, 1956

Gregg, 1957

- Decision-making
- Planning
- Organizing
- Communicating
- Influencing
- Coordinating
- Evaluating

Griffiths, 1958

- Decision-making

Dill, 1964

- Decision-making
- Agenda building
- Commitment phase
- Implementation phase
- Evaluation phase

Campbell, Corbally, et al. 1966

- Decision-making
- Programming
- Stimulating
- Coordinating
- Appraising

B. The Decision-Making Process

Nearly all discussions of the decision-making process include a list of steps that should be followed in decision-making. Such a list includes these steps:

1. Define and limit the problem.
2. Analyze the problem.
3. Establish criteria or standards by which solutions will be evaluated.
4. Explore alternative solutions.
5. Select the most effective solution.
6. Implement solution.

The process models cited on the following pages illustrate steps to be followed in the decision-making process.

Litchfield[1] specified that in its rational, deliberative, discretionary, and purposive form, decision-making is performed by means of the following process:

Definition of the issue
Analysis of the existing situation
Calculation and delineation of alternatives
Deliberation
Choice

Griffiths[2] points out the following steps in the decision-making process:

1. Recognize, define, and limit the problem.
2. Analyze and evaluate the problem.
3. Establish criteria and standards by which the solution will be evaluated or judged as acceptable and adequate to the need.
4. Collect data.
5. Formulate and select the preferred solution or solutions.
6. Put into effect the preferred solution.
   Program the solution
   Control the activities in the program
   Evaluate the results and the process

Dill[3] suggests that the process includes an agenda-building phase or intellectual activity, a commitment phase of "choice activity," an implementation phase and an evaluation phase. Dill also points out that to understand how decisions are made one needs to know about the environments in which decision-makers work and about the complexities of interpersonal and intergroup relations in decision-making.

Bridge[4] suggests that four steps are typically involved in reaching a decision: 1) defining the problem, 2) identifying possible alternatives, 3) predicting the consequences of each responsible alternative, and 4) choosing the alternative to be followed.

According to Koehler[5] the procedure consists of at least three parts:

1. Recognizing a desired objective.
2. Considering the obstacles to achieving it.
3. Selecting a way to overcome the obstacles.

He adds that regardless of the variations in terminology and methods of subdividing the process, there is consensus that the entire decision-making process requires performance of the following operations.

1. Problem definition.
2. Construction guidelines.
3. Identifying alternatives
4. Evaluating alternatives.
5. Selecting best alternative.
6. Implementation and modification.

According to Gannon[6] effective decision-making involves:

1. Recognizing a problem exists.
2. Identifying possible causes of this problem.
3. Developing alternative solutions.
4. Choosing among alternative courses of action.
5. Carrying out the chosen course of action.

C. Types of Decisions

1. *Intermediary, Appellate, Creative*

Barnard[7] indicated that there are three occasions when one should make decisions: (1) authoritative communication from superior, (2) cases referred by subordinates, and (3) cases originating on the initiative of the individual concerned. From these situations, the following typology evolved:

a. *Intermediary decisions* are a function of the organizational role structure and derive from above in the organizational hierarchy.

b. *Appellate decisions* are a function of the organizational role structure and derive from below in the organizational hierarchy.

c. *Creative decisions* represent a change in goals, policies, procedure, or relationships and derive from the decision maker himself.

2. *Technical, Human, Conceptual*

Early analyses conceived of administration in terms of three types of problems about which administrators make decisions: technical, human, and conceptual.[8] The administrator's effectiveness depends upon three basic competencies or skills:

a. Technical skills involve specialized knowledge and facility in the use of specific tools and techniques.

b. Human skill is primarily concerned with building cooperative effort within the human organization the administrator leads.

c. Conceptual skill relates to recognizing the interrelationships of the various situational factors and to taking action which achieves the maximum good for the total organization.

3. *Rational, Irrational*

Litchfield[9] (1956) stated that decision-making may be rational, deliberative, discretionary, purposive, or it may be irrational, habitual, obligatory, random, or any combination thereof.

4. *Programmed, Non-programmed*

According to March and Simon (1957), a decision maker faces two types of problems: structured and ill-structured. A structured problem is sufficiently familiar and repetitious to be handled by routine procedures. It can be solved by means of a programmed decision that is, the application of a decision rule, program, routine, or procedure that has been previously used to solve such problems.

Many problems are ill-structured: that is, the manager cannot easily apply a standard decision rule, program, or procedure that he or she has previously used to solve such problems. Rather, he or she must make a non-programmed decision, a creative response to a new problem. Non-programmed decisions are considered novel and complex. They deal with unfamiliar, complex, or infrequent problems for which it is impractical to establish standard procedures.

5. *Unique, Generic*

Peter Drucker[10] differentiates between problems that are unique (processed as exceptional cases) and those that are "generic" (processed according to principles applicable to all problems of the same nature). Drucker asserts that the effective decision maker always assumes that the problem is "generic." That is, you search for the "core of the real problem," assuming that it is not an exceptional case, but a situation that can be handled by present rules or principles.

6. *Routine, Heuristic, Compromise*[11]

Recent theories suggest a different typology for the analysis of decision-making. This typology includes routing decision-making, heuristic decision-making, and compromise decision-making.

a. Routine decisions are decisions for which the organization has established the requisite goals, roles, procedures, and technologies for dealing with the decision. The situation is usually structured hierarchically.

b. Heuristic decisions are characterized by a lack of emphasis on hierarchical structure. Role behavior is characterized by freedom for each individual to explore all ideas bearing on the problematic state. The processes utilized are characterized by free, full, and open problem definition and alternative generation, and the seeking of consensus.

c. Compromise decision-making is also called negotiated decision-making. The group is concerned with a strategy for dealing with conflict that may occur because of differences in culture values, role expectations, or vested interests of individuals.

7. *Planning, Structuring, Recycling, and Implementing Decisions*

Stuffelbeam[12] classified decisions as planning, structuring, recycling, and implementing decisions (Figure 4)

a. Planning decisions are decisions to determine objectives.

b. Structuring decisions are decisions to design procedures.

c. Recycling decisions judge and react to attainments.

d. Implementing decisions utilize, control, and refine procedures.

D. **Rational Decisions/Economic Man**

1. *The Economic Man and the Administrative Man Decision-Making Model*[13]

In the economic man model, the principal motivating force is rational self interest to seek the highest possible material gain. This theoretical approach also assumes that the individual or organization is rational, that is, it possesses all the information required to determine which is the most profitable course to follow. Unfortunately, of all the possible data affecting even the simplest decision, generally few are known and only a fraction of these are available to the individual making the decision.

On the adaptive-rational organization the administrative man:

> seeks satisfactory rather than ultimate solutions, that is, acceptable rather than maximum results. According to this model, the manager cannot possibly be aware of all the alternatives he or she might pursue, nor all the goals he or she might wish to accomplish. Rather the manager reduces the complexity of each problem so as to make a decision. Typically, the manager will examine only four to five alternatives that are minimally acceptable and choose one of them. That is, the manager satisfies rather than maximizes; he or she chooses a solution that will be adequate rather than taking additional time and effort to find the best possible solution.

2. *Rational Decision*

The rational decision may be defined as one which will move an organization from "what is" – the current situation – to "what ought to be" – the desired situation, by choosing the most practical and efficient of several alternatives. This process of rational decision making may be said to consist of five stages.

The first stage of the process is that of the awareness of the existence of a problem. Such awareness evolves from a sense of dissatisfaction with the current level of accomplishment and the resultant need to do something to improve the current situation. Stage one, therefore, may be described as that of awareness and uncertainty – awareness of the existence of a problem and uncertainty as to how to correct it.

Figure 4

TYPES OF DECISIONS*

	INTENDED	ACTUAL
ENDS	PLANNING DECISIONS TO DETERMINE OBJECTIVES	RECYCLING DECISIONS TO JUDGE AND REACT TO ATTAINMENTS
MEANS	STRUCTURING DECISIONS TO DESIGN PROCEDURES	IMPLEMENTING DECISIONS TO UTILIZE, CONTROL, AND REFINE PROCEDURES

*From: D. L. Stufflebeam et al., (PDK National Study Committe on Evaluation). *Educational Evaluation and Decision Making*. Itasca, Illinois: F. E. Peacock Publishers, 1971.

Stage two involves the close analysis of both the current and the desired levels of accomplishment. The analysis includes identification of the causes of the problem and of the requirements for a solution to the problem. This stage then is one of analysis and definition.

In stage three, alternative ways of getting from what is to what ought to be are devised. During stage three, at least two different strategies should be located or generated which will bring the current level of accomplishment to the desired level. This is the stage of the creation of alternatives.

Stage four consists of the testing of alternatives so as to choose the one which best satisfies the need. Constraints associated with each alternative should be identified, and specified criteria should be applied to each alternative as part of the verification and selection process. At the end of stage four a decision should have been made and the best alternative should have been chosen.

Stage five is an implementation stage. It is here that the selected alternative strategy is put into operation. Implementing the strategy includes directing and controlling the process so as to arrive at the desired outcome.

E. Normative Model: Vroom and Yetton Model

Victor Vroom and Philip Yetton[11] (1973) developed a normative model of decision-making in which decisions can be applied to determine when, how, and if participation is demanded by subordinates in a decision situation. The objective to this system is not to solve problems directly, but rather to set forth a procedure for matching the decision-making behavior of managers with the demands of the situation, specifically when the situation involves subordinates.

According to the Vroom and Yetton Model, there are five styles of decision-making a manager can use, all based on the degree of subordinate participation necessary to choose an alternative. These styles are:

1. A_1 (autocratic method No. 1): You solve the problem or make the decision yourself, using information available to you at the time.
2. A_2 (autocratic method No. 2): You obtain the necessary information from your subordinates; you may or may not tell them what the problem is. The role your subordinates play in making the decision is clearly one of providing the necessary information to you rather than generating or evaluating solutions.
3. C_1 (consultative method No. 1): You share the problem with relevant subordinates individually, getting their ideas and suggestions, bringing them together as a group. Then you make the decision, which may or may not reflect your subordinates' influence.
4. C_2 (consultative method No. 2): You share the problem with your subordinates as a group, collectively obtaining their ideas and suggestions. Then you make the decision, which may or may not reflect your subordinates' influence.
5. G_2 (group method No. 2): You share the problem with your subordinates as a group. Together you generate and evaluate alternatives and attempt to reach agreement (consensus) on a solution. Your role is essentially that of chairman – you do not try to influence the group to adopt your solution, and you are willing to accept and implement any solution that has the support of the entire group.

In deciding which method to use to solve a particular problem, a manager must answer yes or no to seven questions related to the amount of information available, type of decision required, and involvement of subordinates. The answers determine the style of decision-making he or she should use. The questions are:

1. Is there a quality requirement such that one solution is likely to be more rational than another?
2. Do I have sufficient information to make a high quality decision?
3. Is the problem structured?
4. Is acceptance of decision by subordinates critical to implementation?

Figure 5

COMPONENTS OF A RATIONAL DECISION SITUATION

"WHAT OUGHT TO BE"
(the desired situation)
"WHAT IS"
(the current situation)
ALTERNATIVES
(different ways of getting from "what is" to "what ought to be")

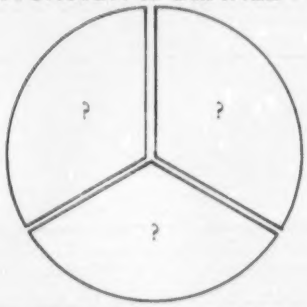
Figure 6

THE FIVE STAGES OF THE RATIONAL DECISION-MAKING PROCESS

HOW THE DECISION SITUATION IS DEFINED . . .

I. UNCERTAINTY (AWARENESS)

THE AWARENESS OF THE EXISTENCE OF A PROBLEM – A SENSE OF DISSATISFACTION WITH THE CURRENT LEVEL OF ACCOMPLISHMENT.



AT THE END OF STAGE I

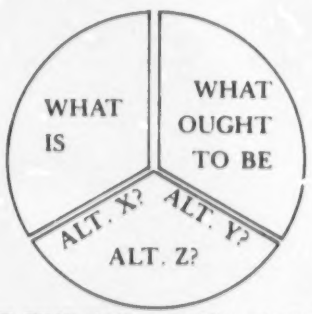
II. ANALYSIS AND DEFINITION

THE CLOSE ANALYSIS OF CURRENT AND DESIRED LEVELS OF ACCOMPLISHMENT: IDENTIFICATION OF CAUSES OF PROBLEM AND REQUIREMENTS FOR SOLUTION.

AT THE END OF STAGE II

III. CREATION OF ALTERNATIVES

THE LOCATION AND/OR GENERATION OF AT LEAST TWO DIFFERENT STRATEGIES WHICH WILL BRING CURRENT LEVEL OF ACCOMPLISHMENT TO DESIRED LEVEL.



AT THE END OF STAGE III

IV. VERIFICATION AND SELECTION

THE IDENTIFICATION OF CONSTRAINTS EFFECTIVE CHOICE OF AN ALTERNATIVE: THE APPLICATION OF SPECIFIC CRITERIA TO EACH ALTERNATIVE – SELECTION ALTERNATIVE.

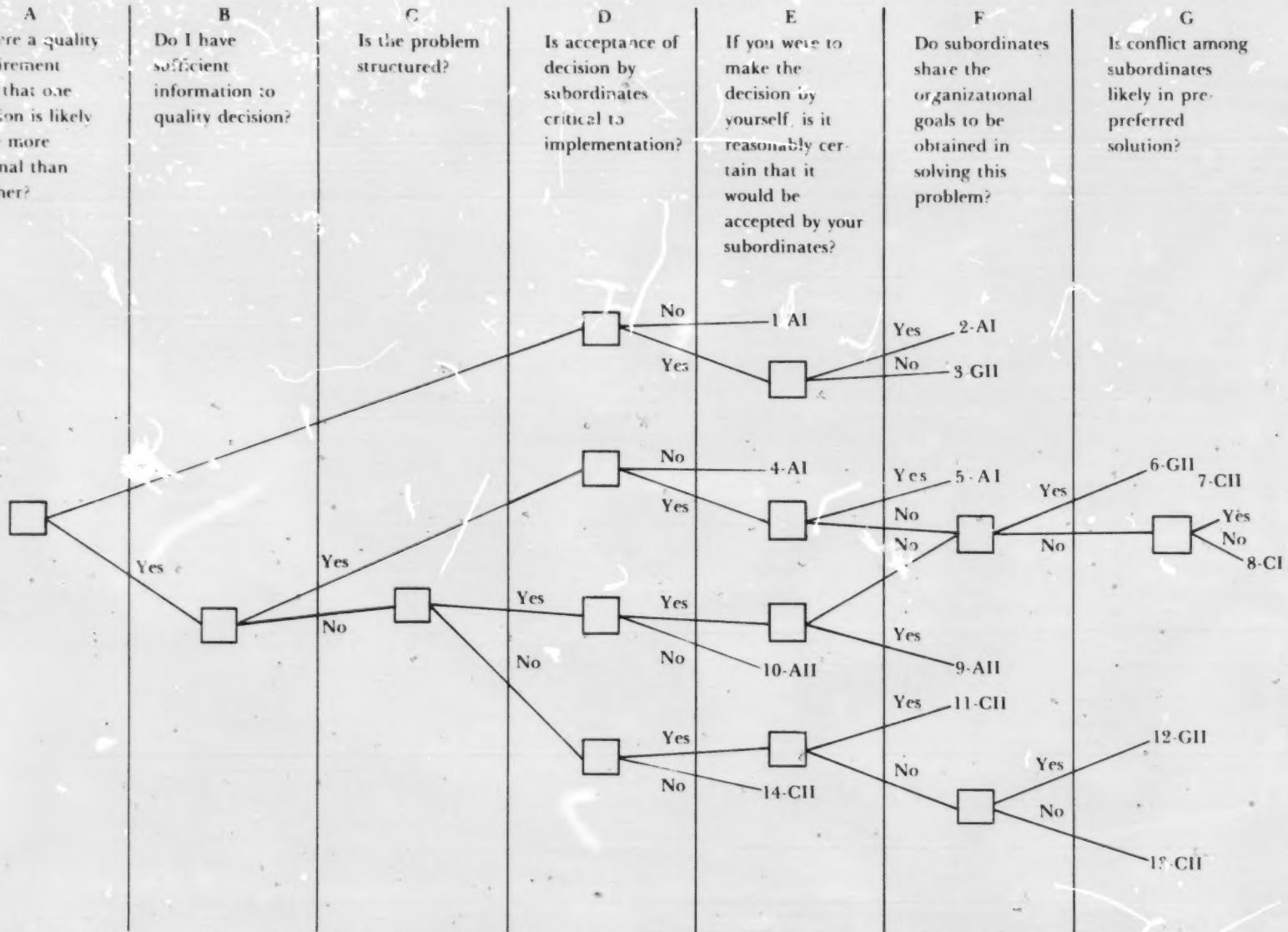
AT THE END OF STAGE IV

V. IMPLEMENTATION

PREPARATION FOR PUTTING THE SELECTED ALTERNATIVE STRATEGY INTO OPERATION: IMPLEMENTING THE STRATEGY, DIRECTING, AND CONTROLLING ITS IMPLEMENTATION.

Figure 7

DECISION PROCESS FLOWCHART



From Victor H. Vroom, "A New Look at Managerial Decision-Making," p. 70 as in Gannon's *Management: An Organizational Perspective* (Boston: Litle Brown and Co., 1977), p. 318.

5. If you were to make the decision by yourself, is it reasonably certain that it would be accepted by your subordinates?
6. Do subordinates share the organizational goals to be obtained in solving this problem?
7. Is conflict among subordinates likely in the preferred solution?

F. Problem Identification Models

Koehler[11] maintains that problems emerge from unanticipated events that affect organizational goals negatively or from anticipated obstacles that have a negative effect on desired outcomes. He proposes a reactive problem identification system for identifying the "real" problem in unanticipated difficulties, and a pro-active system for identifying anticipated problems.

1. *Reactive*

The reactive problem identification model prescribes intervention between an unanticipated negative reaction and problem identification by submitting your reaction to a five-step process. First, define what you expect to occur; second, describe what actually occurred; third, identify the effect of what occurred on personal and/or organizational goals; fourth, identify the negative effects if any; and finally define the cause of this effect. Thus final definition describes the real problem.

The Reactive Problem Identification Model is presented in Figure 8.

2. *Pro-Active*

Effective organization managers spend considerable time trying to anticipate obstacles that may prevent their units from attaining goals. Rather than waiting for problems and then reacting, they try to predict occurrences that will have negative effects on organizational outcomes. The purpose of Koehler's model is to identify in advance problems that may require a decision. The process requires that, having identified a goal, you intervene by (1) generating possible outcomes that could prevent you or your unit from achieving the goal; (2) identifying obstacles you can do something about; and (3) defining the cause of each controllable obstacle. The cause of the obstacle is the real problem that you submit to decision-making analysis.

The Pro-Active Identification Model is presented in Figure 9.

Figure 8

Reactive Problem Identification Model

UNANTICIPATED NEGATIVE REACTION	(1) Define Expectations (what you expected to occur)	(2) Describe what did occur	(3) Identify Effects on (personal and/or organizational) goals	(4) Identify (if any) negative effects	(5) Define (Cause of negative effects	PROBLEM (Cause is the problem)

From J. W. Koehler, *Decision-Making in Administration* (Irvine, California: Center for Organization Research and Development, 1975).

Figure 9

Pro-Active Identification Model

GOAL	(1) Generate Possible Obstacles Which May Interfere with Goal	(2) Identify Controllable Obstacles Which Affect Outcomes	(3) Define Cause of Controllable Obstacle	PROBLEM (Cause)

From J. W. Koehler, *Decision-Making in Administration* (Irvine, California: Center of Organization Research and Development, 1975).

G. Decision-Making Model

Once a problem has been identified, Koehler offers a typical decision-making process.

The Decision-Making Model is presented in Figure 10. It includes the following steps:

1. Goal: What you want the solution to achieve.
2. History: What has been done by you and others to solve the problem?
3. Possible Solutions: Explore alternatives, What can we do?
4. Select "best" solution: What shall we do?
5. Evaluate effects of selected solution: Does it achieve goal? (If solution continues to have undesirable effect, go to step 3.)

H. Decision Behavior Analysis (DBA)[16]

A procedure for determining the types of behaviors exhibited at each stage in the decision process is known as decision behavior analysis (DBA). Items based in the systems approach to decision-making are developed. For example:

	Always	Often	Some-times	Seldom	Never
In making decisions, my Director:					
1. Identifies the emotional elements of a problem.	5	4	3	2	1

One may utilize the items to obtain a measure of actual self-perceptions of decision behavior, as well as to obtain a measure of alter's actual expectations of decision behavior. It is also possible to obtain measures of idealized expectations of decision behavior.

In making decision, I
In making decisions, my director
Ideally, in making decisions, I should
Ideally, in making decisions, my director should

I. Decision Role Analysis (DRA)[17]

The approach known as decision role analysis (DRA) defines the role in terms of the decisions that rest with the position. The process of decision role analysis obtains expectations for a role incumbent's behavior along relevant continua from required to prohibited, such as the incumbent "absolutely must (5)," "probably should (4)," "may or may not (3)," "probably should not (2)," or "absolutely must not (1) make the decisions described." This procedure permits one to obtain measures of self-decision expectations, alter decision expectations, and perceive altered decision expectations, both for the actual decision role and for the idealized decision role. It may also include requiring respondents to rank the decision content items in terms of their importance or assess the amounts of time alloted to the various decision items.

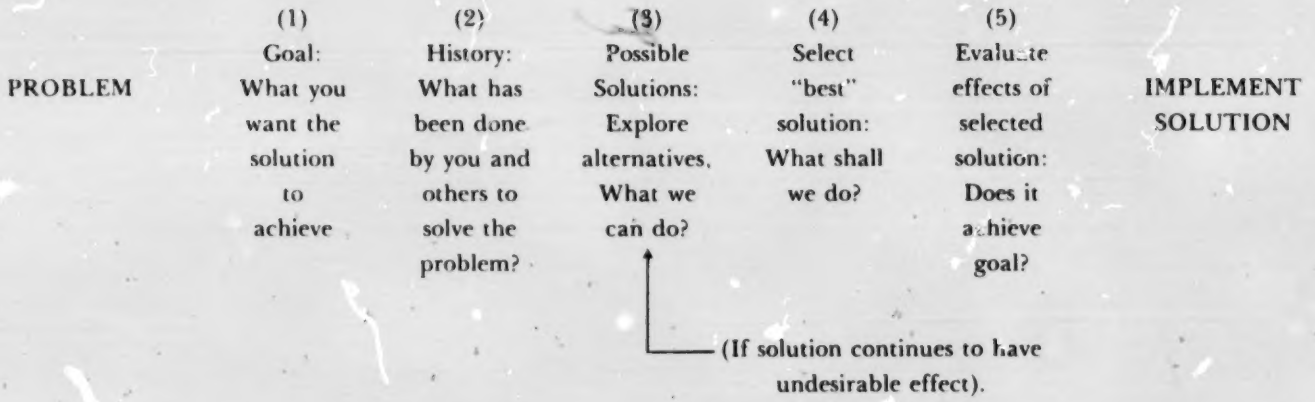
J. Decision Involvement Analysis[18]

One of the major problems in the analysis of decision-making in complex organizations is that decisions are shared. A procedure known as decision involvement analysis (DIA) has proved to be fruitful in analyzing decision involvement. The major decision items are derived in terms of local needs. Next the specific position titles are identified, and respondents are asked to indicate who is primarily responsible for making each decision. When data are obtained from respondents at all organizational levels, it becomes possible to compare perceptions of the decision-making structure of the organization.

It is also possible to obtain respondents' ideal perceptions— "Who should make each decision?," thereby comparing the actual with the ideal decision structures.

Figure 10

Decision-Making Model


PROBLEM
(1) Goal: What you want the solution to achieve
(2) History: What has been done by you and others to solve the problem?
(3) Possible Solutions: Explore alternatives. What we can do?
(4) Select "best" solution: What shall we do?
(5) Evaluate effects of selected solution: Does it achieve goal?
IMPLEMENT SOLUTION
(If solution continues to have undesirable effect).

From J. W. Koehler, *Decision-Making in Administration* (Irvine, California: Center of Organization Research and Development, 1975).

Decision Behavior Analysis (DBA) Scale

In making decisions, my Director . . .	Always	Often	Some-times	Seldom	Never
1. Assesses unmet needs.	5	4	3	2	1
2. Expresses educational needs in terms of discrepancies.	5	4	3	2	1
3. Generates measurable objectives.	5	4	3	2	1
4. Selects the problem area that represents the greatest discrepancy or the most urgent need.	5	4	3	2	1
5. Translates needs into goals and objectives.	5	4	3	2	1
6. Identifies an overall objective.	5	4	3	2	1
7. Determines constraints.	5	4	3	2	1
8. Studies how to remove constraints.	5	4	3	2	1
9. Determines where to go.	5	4	3	2	1
10. Determines function and task.	5	4	3	2	1
11. Analyzes methods and means.	5	4	3	2	1
12. Formulates criteria to be used in assessing alternatives.	5	4	3	2	1
13. Formulates decision rules for selecting an alternative.	5	4	3	2	1
14. Obtains and assesses criterion information related to each decision alternative.	5	4	3	2	1
15. Applies the decision rule to the available criterion evidence.	5	4	3	2	1
16. Chooses one alternative.	5	4	3	2	1
17. Reflects on the efficacy of the indicated choice.	5	4	3	2	1
18. Confirms the indicated choice or rejects it.	5	4	3	2	1
19. Seeks for more information.	5	4	3	2	1
20. Changes the decision rules.	5	4	3	2	1
21. Formulates additional alternatives.	5	4	3	2	1
22. Retains the status quo.	5	4	3	2	1
23. Chooses by default the alternative in use.	5	4	3	2	1
24. Assesses the intend to which the solution strategy is being carried out in the intended manner.	5	4	3	2	1
25. Investigates the degree to which the program plan or solution strategy is accurately and properly carried out.	5	4	3	2	1
26. Determines whether the program is moving toward the achievement of its objectives.	5	4	3	2	1
27. Determines the general worth of the implemented solution.	5	4	3	2	1
28. Assesses the impact of the outcomes on subsequent decisions.	5	4	3	2	1
29. Ensures that the assessment information bears a logical and direct relationship to identified needs and objectives.	5	4	3	2	1
30. Utilizes a variety of assessment strategies, procedures, and measures.	5	4	3	2	1

From Roger A. Kaufman, Systems Approach to Education in James M. Liphams and James A. Hoeh, *The Principalship: Foundations and Functions* (New York: Harper and Row Publishers, 1974) pp. 34-45.

One's own involvement in the decision-making process may range from high to low, as follows:

5. Make the decision.
4. Recommend an alternative.
3. Develop possible alternatives.
2. Provide information only.
1. No involvement.

Utilizing the DIA, each respondent is able to describe specifically his own involvement in each decision. Again, it is possible to obtain expressions of the idealized (desired) nature of one's involvement and to make actual and ideal comparisons.

In analyzing decision involvement, it is possible, and perhaps desirable, to expand the response format of the DIA to include consideration of frequency or "how often" a person is involved in decision-making, as well as to obtain a measure of the type of one's involvement.

Figure 12

Decision Involvement Analysis (DIA) Scale

Items	Person (or persons) primarily responsible for making this decision. 1 Director of Teacher Corps 2 Program Development Specialist 3 Community Coordinator 4 Local Educational Agency Coordinator 5 University Coordinator 6 Team Leader	Person (or persons) which you believe should be primarily responsible for making this decision. 1 Director of Teacher Corps 2 Program Development Specialist 3 Community Coordinator 4 Local Educational Agency Coordinator 5 University Coordinator 6 Team Leader	The present nature of your involvement in making the decision. 5 Make the decision 4 Recommend alternatives 3 Develop possible alternatives 2 Provide information 1 No involvement	What you believe should be the nature of your involvement in making the decision. 5 Make the decision 4 Recommend alternatives 3 Develop possible alternatives 2 Provide information 1 No involvement
1. Decide on the appropriateness of a project programmatic element.	____	____	____	____
2. Decide on the evaluation criteria for assessing the impact of the training program and monitoring the curriculum.	____	____	____	____
3. Decide the best academic program for interns.				
4. Removing an intern from a particular classroom where learning environment is not adequate.	____	____	____	____
5. Decide on resource persons for the implementation of "Teacher Corps" community programs.	____	____	____	____

6. Decide on what feedback information of program status should be provided to the cooperating institutions and agencies.	____	____	____	____
7. Decide on what tested products can be disseminated.	____	____	____	____
8. Decide on the long range program for change within the school.	____	____	____	____
9. Decides that the school staff need to work together toward goals.	____	____	____	____
10. Decides that an intern requires counseling.	____	____	____	____
11. Decides on what retraining activities are to be scheduled for school staff.	____	____	____	____
12. Decides what material to acquire, revise, refine, adopt, and adapt for the interns and teacher aides training program.	____	____	____	____
13. Decides to change the program if the project is not proceeding according to the long-term institutional plan for change.	____	____	____	____
14. Decides how to translate a training design into curriculum and strategies for preservice and inservice.	____	____	____	____
15. Decides on who is to represent the project at activities	____	____	____	____

[a]Based on Lipham's Sample Instrument for Assessing Involvement in Decision Making. *Ibid*, p. 166.

FOOTNOTES

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17. *Ibid.* pp. 161-162.
18. *Ibid.* pp. 165-167.

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EXERCISES FOR DECISION-MAKING

Organizational Constraints

Tasks:

1. Examine the goals of the Teacher Corps Project with which you are involved.

2. Examine the policies or general guides to action designed to help accomplish the goals.

3. Examine the rules and procedures designed to carry out the policies.

4. Give examples of how the three related factors—goals, policies, and rules—impose organizational limits on the kinds of decisions you make.

Classification of Organizations

Instructions:

1. Utilizing Etzioni's classification of organizations classify the following organizations as:

   Predominantly coercive (PC)
   Predominantly utilitarian (PU)
   Predominantly normative (PN)
   Mixed structures (MS)

Classification	*Organization*
_____	1. Religious organizations
_____	2. Custodial mental hospitals
_____	3. Social unions
_____	4. Combat units
_____	5. Concentration camps
_____	6. Business unions
_____	7. Colleges and universities
_____	8. Hospitals
_____	9. Prisons and correctional institutions
_____	10. Most labor unions
_____	11. Professional associations
_____	12. Coercive unions
_____	13. Peacetime military organizations
_____	14. Voluntary organizations
_____	15. Some early industries, farms, company townships
_____	16. Farmers' organizations
_____	17. Ideologically based political organizations or parties
_____	18. Prisoner of war camps
_____	19. Business and industry (with a few exceptions)
_____	20. Mutual benefit associations

Answers:

1. PN	6. PU	11. PN	16. PU
2. PC	7. PN	12. PC	17. PN
3. PN	8. PN	13. PU	18. PC
4. MS	9. PC	14. PN	19. PU
5. PC	10. MS	15. MS	20. PN

2. Classify the type of power utilized and the type of involvement from members, typical of the organization in which you operate.

Organizational Levels

1. Identify the three levels in the organization in which you operate.

   Institutional:

   Managerial:

   Technical:

2. Indicate the mechanisms that have been established for better articulation among the three system levels.

Influence of Culture and Personality on Decision-Making

1. Compare Japan, France, Russia, and the United States on how the culture of the society influences the action of individuals.

2. List some of the most common stereotypes involving people's race, sex, hair style, dress, and educational background, and indicate how these may influence managers in decision-making.

3. Explain how an individual's basic personality and intelligence influences the decision-making process.

The Decision-Making Process

List the steps taken to solve an administrative problem in your project:

Appraise the steps mentioned above:

Apply the steps of the decision-making process presented to the solution of an administrative problem in your project.

Problem:

Steps in the Decision-Making Process

A Decision-Making Checklist

_____ Is there really a problem?
_____ Is the problem clearly defined?
_____ Are the other problems tied in with it? Can they be factored out?
_____ What kind of problem is it?

Policy? Executive? Intermediary? Appellate? Creative? Human Relations?
Technical? Conceptual? Personal? Organizational?

_____ Is it one on which you should take action?
_____ Who should decide?
_____ If you, are you willing to accept responsibility for the decision?
_____ If you contemplate passing the buck, do you have justifiable reason?
_____ What values are involved?
_____ What do you wish to accomplish through the decision?
_____ Are all necessary facts at hand and properly verified?
_____ Is the environment ready for a decision?
_____ Have all possible alternative courses of action been carefully weighed?
_____ Which course of action is most integrative, least coercive or compromising?

After the Decision

_____ Has the decision been communicated clearly to all essential persons?
_____ Have you provided for implementation and follow-up of the decision?
_____ Have you arranged for feedback, review, and evaluation of the decision?
_____ Have you established a process, policy, set of criteria, etc. that can serve you in making other decisions? i.e., what have you learned from this decision that will help you in future decisions?

An Exercise for the Classification of Decisions

1. Classify the following problems as to technical (T), human (H), or conceptual (C).
   _____(a) administrative process problem
   _____(b) developing group-effort and morale
   _____(c) perceiving the organization as an entity
   _____(d) procedures and techniques
   _____(e) maintaining the institutional dimension of the organization
   _____(f) working as a group member
   _____(g) methodology to act as an educational leader
   _____(h) maintaining the individual dimension of the organization
   _____(i) looking at the inter-relationship of the parts of the organization that produce the whole

2. Classify the following as routine (R), heuristic (H), or compromise (C).
   _____(a) Inter-reference group conflict
   _____(b) Approving teachers' requisitions
   _____(c) Working with students in solving a curricular issue
   _____(d) Teacher vs. board conflict
   _____(e) Parents vs. teacher conflict
   _____(f) Enforcing student attendance regulations
   _____(g) Transmitting changes made by the school board

3. Classify the following decisions as too programmed (P), or non-programmed (NP).
   _____(a) Decision to expand the organization
   _____(b) Reducing costs
   _____(c) Reacting to complaints
   _____(d) Entering a new market area

Answers:

1. (a) T
   (b) H
   (c) C
   (d) T
   (e) T
   (f) H
   (g) T
   (h) H
   (i) C

2. (a) C
   (b) R
   (c) H
   (d) C
   (e) C
   (f) R
   (g) R

3. (a) NP
   (b) P
   (c) NP
   (d) NP

Decision Process Flowchart Exercise

Utilizing the Decision Process Flowchart presented in Figure 7 decide what method to use to solve the following problem.

The role of the teacher aide is unclear in Project X. The confusion is shared by classroom teachers as well as by aides. Teachers are using their aides ineffectively. They are being assigned routine and menial tasks. Aides have complained. Teachers claim aides are not trained in specific skills. The School Director assumed responsibility for training the aides. The aides are being assigned to tasks selected by the School Director. Teachers are complaining. "Are the aides teacher aides or principal aides?" The case was taken to the Director of the Teacher Corps Project.

Reactive Problem Identification Exercise

Think about a problem that emerged from unanticipated events that affected organizational goals negatively. Submit your reaction to the five-step process described in the reactive problem identification model (Figure 8).

1. Define what you expect to occur.

2. Describe what actually occurred.

3. Identify the effect of what occurred on personal and/or organizational goals.

4. Identify the negative effects if any.

5. Define the cause of this effect.

Pro-Active Problem Identification Exercise

Identify in advance a problem that may have a negative effect on organizational outcomes. Intervene by utilizing the steps of the Pro-Active identification model. (Figure 9)

1. Possible outcomes that could prevent you or your unit from achieving the goal.

2. Identifying obstacles you can do something about.

3. Defining the cause of each controllable obstacle. (The cause of the obstacle is the real problem that you submit to decision-making analysis.)

Koehler's Decision-Making Exercise

Identify a problem and go through Koehler's decision-making model presented in Figure 10.

1. Goal: What you want the solution to achieve.

2. History: What has been done by you and by others to solve the problem?

3. Possible Solutions: Explore alternatives. What can we do?

4. Select "best" solution: What shall we do?

5. Evaluate effects of selected solution: Does it achieve goal?

6. If solution continues to have undesirable effect, go to step 3.

Decision Role Analysis Scale

Program Development Specialist (PDS) Role

In each one of the following items, determine if the PDS:

5 "absolutely must"
4 "probably should"
3 "may or may not"
2 "probably should not"
1 "absolutely must not"

---

1. Decide on what evaluation criteria are to be used for assessing the impact of the training program.
2. Decide on the long range program for change in the school.
3. Decide on the appropriateness of a programmatic element.
4. Decide on the particular strategy to translate a training design for preservice and inservice.
5. Decide that an intern must be removed from the project.
6. Given a set of tested products, decide which ones to disseminate.
7. Decide on the schedule for retraining activities at the school.
8. Submit requests for purchases.
9. Decide to change the program because it is not proceeding according to the long-term plan for change.
10. Decide to remove an intern from a particular classroom.

An Instrument for Periodic Checks on Group's Ability to Problem Solve Meetings*

Matthew B. Miles

Please consider what usually or typically happens in your staff meeting; of the items below, please circle the appropriate number.

	Almost Always	Often	Some-times	Seldom	Almost Never
1. When problems come up in the meeting, they are thoroughly explored until everyone understands what the problem is.	1	2	3	4	5
2. The first solution proposed is often accepted by the group.	1	2	3	4	5
3. People come to the meeting not knowing what is to be presented or discussed.	1	2	3	4	5
4. People ask why the problem exists, what the causes are.	1	2	3	4	5
5. There are many problems which people are concerned about which never get on the agenda.	1	2	3	4	5
6. There is a tendency to propose answers without really having thought the problem and its causes through carefully.	1	2	3	4	5
7. The group discusses the pros and cons of several different alternate solutions to a problem.	1	2	3	4	5
8. People bring up extraneous or irrelevant matters.	1	2	3	4	5
9. The average person in the meeting feels that his ideas have gotten into the discussion.	1	2	3	4	5
10. Someone summarizes progress from time to time.	1	2	3	4	5
11. Decisions are often left vague; as to what they are and who will carry them out.	1	2	3	4	5
12. Either before the meeting or at its beginning, any group member can easily get items on to the agenda	1	2	3	4	5

*Data from this instrument should be feedback by simply summarizing the number of persons circling each option.

	Almost Always	Often	Some-times	Seldom	Almost Never
13. People are afraid to be openly critical or make good objections.	1	2	3	4	5
14. The group discusses and evaluates how decisions from previous meetings worked out.	1	2	3	4	5
15. People do not take the time to really study or define the problem they are working on.	1	2	3	4	5
16. The same few people seem to do most of the talking during the meeting.	1	2	3	4	5
17. People hesitate to give their true feelings about problems which are discussed.	1	2	3	4	5
18. When as decision is made, it is clear who should carry it out, and when.	1	2	3	4	5
19. There is a good deal of jumping from topic to topic – it's often unclear when the group is on the agenda.	1	2	3	4	5
20. From time to time in the meeting, people openly discuss the feelings and working relationships in the group.	1	2	3	4	5
21. The same problems seem to keep coming up over and over again from meeting to meeting.	1	2	3	4	5
22. People don't seem to care about the meeting or want to get involved in it.	1	2	3	4	5
23. When the group is thinking about a problem, at least two or three different solutions are suggested.	1	2	3	4	5
24. When there is disagreement, it tends to be smoothed over or avoided.	1	2	3	4	5
25. Some very creative solutions come out of this group.	1	2	3	4	5
26. Many people remain silent.	1	2	3	4	5
27. When conflicts over decisions come up, the group does not avoid them but really stays with the conflict and works it through.	1	2	3	4	5
28. The results of the group's work are not worth the time it took.	1	2	3	4	5
29. People give their real feelings about what is happening during the meeting itself.	1	2	3	4	5
30. People feel very committed to carrying out the solutions arrived at by the group.	1	2	3	4	5
31. When the group is supposedly working on a problem, it is really working on some other "under the table" problem.	1	2	3	4	5
32. People feel antagonistic or negative during the meeting.	1	2	3	4	5

33. There is no follow-up of how decisions reached at earlier meetings worked out in practice.	1	2	3	4	5
34. Solutions and decisions are in accord with the chairman's or leader's point of view, but not necessarily with the members'.	1	2	3	4	5
35. There are splits or deadlocks between factions or subgroups.	1	2	3	4	5
36. The discussion goes on and on without any decision being reached.	1	2	3	4	5
37. People feel satisfied or positive during the meeting.	1	2	3	4	5

Decision-Style Inventory

Rick Roskin

Two different dimensions seem important in appraising a decision's potential effectiveness:

Quality – relating to objective or impersonal attributes;

Acceptance – relating to subjective attractiveness or desirability.

The first dimension depends on data derived from the situation. The second depends on the feelings of the people who must execute the decision. Thus, a manager may have to concern himself not only with how good a decision is from an objective point of view, but how appropriate it is from his subordinates' viewpoints.

Examining specific problems may help determine the degree to which Quality and Acceptance are instrumental in decision-making.

On the next pages are ten management incidents. You are to indicate the degree of importance of the Quality and Acceptance factors in each incident as follows:

Circle one number for each factor to indicate your opinion. A "1" indicates little importance, a "7" great importance. If a time shortage for decision-making is indicated, place an "X" in the space following "Time." If mutual trust between superior and subordinate is evident, place an "X" in the space following "Trust."

Quality	1	3	5	7	Time_____
Acceptance	1	3	5	7	Trust_____

Incident 1: University and Business Cooperation

The Department of Business and Management at a local university is deciding whether to operate a cooperative program. This type of program results in students spending alternate terms at the university and with business enterprises, in the hope that this mixing of practice and theory will be beneficial for both employer and student.

This new approach has many ramifications for the professors. For example, it demands a change in teaching schedules, as there would be three semesters per year, and demands greater interaction with the business community.

A consultant has been brought in to help further understanding. He has emphasized the importance of staff commitment.

Past experience indicates that graduates from a cooperative program obtain better jobs than graduates from a noncooperative program. This, however, is not a major concern, since the present program is considered satisfactory.

Quality	1	3	5	7	Time_____
Acceptance	1	3	5	7	Trust_____

Incident 2: Correct Product Pricing

A local firm has just developed a new product that is intended to contribute to corporate profits. The company is depending on it to a great extent because of declining markets for its other products, although as yet the situation is not critical.

The manager is concerned about correct pricing. He realizes that if the price is too low, increased sales will simply magnify losses; if the price is too high, sales will be too low to cover overheads adequately.

In front of him is a complete projected financial analysis of the product. The recent balance sheet of the firm is clearly in his mind.

Quality	1	3	5	7	Time_____
Acceptance	1	3	5	7	Trust_____

Incident 3: Bid Acceptance

The Candy Corporation has decided to reward its sales staff for a superb year by holding a dance and dinner. This social activity is to be a surprise, scheduled to be held in two months.

Two of the best restaurants in town have tendered approximately equal bids.

Quality	1	3	5	7	Time_____
Acceptance	1	3	5	7	Trust_____

Incident 4: Office Allocation

A new office building stands before Al Smith, manager of Associated Industries.

The new building has greatly improved offices compared with those presently occupied by Associated's Staff. About half of the offices face westward, overlooking the ocean about one-half block away. The other half view the city.

At this time no office allocations have been made. As yet no employees, except top management, have seen the building's interior. The management is pondering the best distribution of offices.

Quality	1	3	5	7	Time_____
Acceptance	1	3	5	7	Trust_____

Incident 5: Group Decision-Making

Richard Taylor received a university B.S. degree with a major in personnel. During his education years he was particularly interested in participative management.

His present position as executive director of the Business Association of a Southwest state (an association of state businesses for the dissemination of free enterprise information) has in part frustrated him. As executive officer of a large service organization he finds it difficult to implement ideas by group decision-making, although he persists in his attempts.

There are ten divisional representatives and a secretarial staff in the office. Excellent morale prevails and members are eager to help each other with any problems. Thus, the situation is special: High morale and a lack of interest in group decision-making are evident.

Apparently, the representatives are so busy with their own district problems that they feel that:

a. meetings are often needlessly time consuming

b. Taylor can be expected to make the right decisions

Taylor ponders the situation with the following memo on his desk:

Memo To: R. Taylor

From: Committee, Members of the State Association

Subject: Bilingualism

In keeping with the current effort to incorporate other ethnic backgrounds into our culture, we request that your organization be prepared to issue information in both Spanish and English.

We would appreciate your ideas on how we can most effectively pursue this matter. Please respond to this request at your convenience.

Quality	1	3	5	7	Time_____
Acceptance	1	3	5	7	Trust_____

Incident 6: Process Recommendation

Printed Circuits Incorporated manufactures micro-circuitry for electronic instruments. This system uses an etching process and molten copper in place of wires to join electronic components.

It is a "space age" technology. Most organization members are highly skilled experts whose ability assures that required product tolerances are achieved.

Dan Corbet is a research scientist in charge of circuit development. Highly respected, he is one of the few people with the knowledge and experience necessary for his position.

Corbet supervises ten bright but less experienced researchers. Their creativity and drive never cease to amaze him.

The team has developed a new alloy apparently superior to copper. Although not tested for a long period, it has passed most required standards.

Corbet has just received a request to make a recommendation on the process. Prospective buyers will arrive the next morning. He looks at his watch; it is 4:55 p.m.

Quality	1	3	5	7	Time_____
Acceptance	1	3	5	7	Trust_____

Incident 7: Equipment Appraisal

Sam Gordon is the foreman of a group of thirty women who operate looms for a weaving firm.

Although the looms are automated, the girls have an important job. They watch the material carefully, checking for flaws. If they fail to notice a flaw, hundreds of feet of material might either be ruined or have to be sold as seconds. (An example of a flaw is a single strand of incorrectly dyed thread being woven into material of another color.)

The women are allowed a certain number of feet of wastage per week. Beyond that amount, a percentage of the waste cost (up to a maximum) can be charged against their income.

There is a definite preference for one type of loom. Some looms seem to produce better material than others. Unfortunately, the looms that produce a somewhat inferior product are easier to operate.

Recently a new series of looms has been developed; the firm is testing these. Management has requested that Gordon state his appraisal of the machines.

Quality	1	3	5	7	Time_____
Acceptance	1	3	5	7	Trust_____

Incident 8: International Marketing

The Comptroller of World International has a problem.

International is a firm that specializes in importing and exporting products. Using its marketing expertise, it sells its products in world markets.

Because of the nature of the firm's business, it has a large legal department. This department must be familiar with the laws of customer countries, particularly trade agreements, tariffs, etc.

Growing nationalism throughout the world has forced International to reassess its position, in particular whether it would be beneficial for the company to set up warehousing, distributing, and even production facilities in various countries.

Quality	1	3	5	7	Time_____
Acceptance	1	3	5	7	Trust_____

Incident 9: Equipment Choice

Eric Hartman is in charge of a diving crew working from an offshore drilling rig situated about two hundred miles from the Atlantic coast. Hartman is an experienced diver and has worked in similar situations for several years.

Since divers often face a dangerous task, they tend to feel rather independent of authority. Their attitude is that "I would rather depend on myself for my life than on anyone else."

It is Hartman's opinion that the most suitable diving apparel for the divers is a "wetsuit." This is a form-fitting suit of porous rubber. It allows the diver great flexibility. Some divers, however, prefer a "drysuit." Drysuits are made of nonporous wool-lined rubber. One danger of these suits, however, is that a sudden increase in air pressure can turn them into "ballons," the diver often being turned upside down, unable to right himself without help.

The morale and cooperation in the group has been excellent.

Quality	1	3	5	7	Time_____
Acceptance	1	3	5	7	Trust_____

Incident 10: Idea Development

Developing dreams is Mark Thorwald's description of his job. As creative director for a small advertising agency, he develops the dreams of other people.

The success of the firm is attributed to its ability to act quickly and innovatively. Its total budget has increased dramatically during its five-year existence.

Thorwald feels that the group brainstorming approach used to generate ideas is the key factor of the firm's achievement. Every decision made is a group decision. The cohesiveness and unity of the employees is excellent.

Thorwald arrives one morning after fighting his way through a snowstorm. To his amazement almost all his employees are on hand. As he sits at his desk, the telephone rings: It is a snow-tire distributor asking that a radio commercial be developed by that afternoon. Thorwald looks at his watch; it is 10 a.m.

Quality	1	3	5	7	Time_____
Acceptance	1	3	5	7	Trust_____

Decision-Style Inventory Theory Summary Sheet

Problem Type		Decision Type
$\frac{Q}{A}$	_____ suggests _____	Command

Quality of the decision is more important than its acceptance.

The decision is made by the superior, utilizing available information, independent of others.

$\frac{A}{Q}$	_____ suggests _____	Consensus

Acceptance of the decision is more important than its quality.

The decision is a group decision evolving from shared information and ideas.

QA	_____ suggests _____	Consultation

The quality and acceptance of the decision are equally important.

The decision is made by the superior, utilizing subordinate opinion, but without bringing the subordinates together as a group.

$\overline{QA}$	_____ suggests _____	Convenience

The quality and acceptance of the decision are both important.

The decision results from the easiest method at hand.

Decision-Style Inventory Scoring Sheet

Instructions:

1. Transfer your responses to each incident to the table below.

2. Using the Decision-Style Tree, determine for each item the Problem Type and Decision Style and write these on the table.

   a. If a time shortage is present, the Decision Style is Command, whatever the Problem Style.

   b. If trust is present, the Decision Style is Consensus, whatever the Problem Type.

   c. If both time and trust are factors, the Decision Style is either Consultation or Convenience, depending on the importance of the Quality of the decision.

   (*Note:* The Convenience Style simply means that a decision-maker will use whatever style that time and the group situation will allow.)

3. Using the Prescribed-Style Answer Key, check how many "correct" Decision Style responses you made and enter this number in the Total Correct box.

Incident	*Quality*	*Acceptance*	*Time*	*Trust*	*Indicated Problem Type (circle one)*	*Decision Style*
1	_____	_____	( )	( )	$\frac{Q}{A}$ $\frac{A}{Q}$ QA QA	_____
2	_____	_____	( )	( )	$\frac{Q}{A}$ $\frac{A}{Q}$ QA	_____
3	_____	_____	( )	( )	$\frac{Q}{A}$ $\frac{A}{Q}$ QA	_____
4	_____	_____	( )	( )	$\frac{Q}{A}$ $\frac{A}{Q}$ QA	_____
5	_____	_____	( )	( )	$\frac{Q}{A}$ $\frac{A}{Q}$ QA QA	_____
6	_____	_____	( )	( )	$\frac{Q}{A}$ $\frac{A}{Q}$ QA	_____
7	_____	_____	( )	( )	$\frac{Q}{A}$ $\frac{A}{Q}$ QA	_____
8	_____	_____	( )	( )	$\frac{Q}{A}$ $\frac{A}{Q}$ QA	_____
9	_____	_____	( )	( )	$\frac{Q}{A}$ $\frac{A}{Q}$ QA	_____
10	_____	_____	( )	( )	$\frac{Q}{A}$ $\frac{A}{Q}$ QA QA	_____
						Total _____
						Correct _____

Decision-Style Inventory Theory Summary Sheet

	Problem Type	Decision Style	
	$\underline{QA}$	Consultation	
A above 4			
A below 4			
	$\frac{Q}{A}$	Command	Time
Q above 4			
Q below 4			
	$\frac{A}{Q}$	Consensus	Trust
A above 4			
A below 4			
	$\frac{\quad}{QA}$	Convenience	

Prescribed-Style Answer Key

The prescribed style is the correct style as determined by the author. Some variation may occur, and users are encouraged to work out their own rationales. (*Note:* The inventory does not differentiate between a score of 1 and 3 and between a score of 5 and 7. This flexibility allows for the fact that the relative importance of Quality or Acceptance may be understood in different ways.

Incident		
1	Consensus	This is a key commitment issue.
2	Command	The manager has full information.
3	Convenience	The factors of a surprise party and similar restaurants are emphasized.
4	Consensus	The office layout is unlikely to affect productivity significantly; hence Acceptance is the key.
5	Consensus	Mutual trust is evident and the employees would probably like an input into such a key issue.
6	Convenience	Both mutual trust and a time constraint are in evidence.
7	Consultation	Good equipment will not lead to good results unless operators like it.
8	Command	Specialized knowledge makes quality most important. The time element may be checked as well.
9	Consensus	While both Quality and Acceptance are important (Consultation), the mutual trust leads to a Consensus Decision Style.
10	Convenience	Mutual trust and a time constraint are evident. (Probably style will depend on how busy the firm is at that moment.)